AO 10
Rev. 1/2017

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
Hicks, Jr., S. Maurice	District of Louisiana Western	08/03/2022
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 - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Tom Stagg United States Court House 300 Fannin Street, Room 5101 Shreveport, LA 71101		

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.	Lecturer/Adjunct Faculty Member	
2.	Board of Directors Member	Children and Arthritis, Inc. (501(c) (3) organization) / Non-profit
3.	Advisory Board Member	Global Power Air Museum of Barksdale Air Force Base (501(c)(3) organization)
4.	Board of Trustees	Paul M. Hebert Law Center, Louisiana State University
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.	2021	Management Fees - Self Employed
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.	Professional or Civic Group	11/02/2021 - 11/03/2021	Houston, Texas	Activity of professional assoc or civic organization	Transportation, meals, lodging
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.	Progressive Bank	Line of Credit	K
2.	Northwestern Mutual	Personal Loan	K
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Hicks, Jr., S. Maurice	08/03/2022

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. State Farm Life Insurance Co. Universal Life		None	K	T					
2. Northwestern Mutual Life Insurance Co. Whole Life	B	Dividend	L	T					
3. Timber Land, Lincoln Parish, Louisiana - 1/1/96 (See Note)		None	K	R					
4. Red River Syndicate LP (See Note)	D	Int./Div.	L	U					
5. Janney, Montgomery Scott Brokerage Account - Cash		None	J	T					
6. IRA #2 Raymond James Bank Deposit Program		None	J	T					
7. Raymond James Bank Deposit Program-T		None	J	T					
8. JP Morgan -Cash Acct.		None	J	T					
9. Raymond James Bank Deposit Program-S		None	J	T					
10. IRA #2-Cyrusone Incorporated	A	Dividend	J	T					
11. IRA #2-W P Carey Inc.	A	Dividend	J	T	Sold (part)	07/01/21	J	A	
12. IberiaBank		None	J	T					
13. IRA #2 - MSIF International Opp Fund	A	Dividend	J	T	Sold (part)	07/01/21	J	B	
14. IRA #2 - Fidelity OTC Portfolio Fund	A	Dividend	J	T	Sold (part)	07/01/21	J	C	
15. IRA #2 - Vanguard Wellesley Income Fund Admiral Shares	A	Dividend	J	T	Sold (part)	07/01/21	J	A	
16. IRA #2- Cohen & Steers Real Estate Securities Fund Class I	A	Dividend	J	T					
17. IRA #2-Fidelity Advisor International Real Estate Fund Class I	A	Dividend	J	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
Hicks, Jr., S. Maurice	08/03/2022

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				
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18. IRA #2- Franklin Dynatech Fund Advisor Class	A	Dividend	J	T	Sold (part)	07/01/21	J	D	
19. IRA #2- Franklin Convertible Securities Fund Advisor Class	B	Dividend	J	T					
20. IRA #2 - Virtus Kar Small Cap Growth Fund	B	Dividend	J	T	Sold (part)	07/01/21	J	A	
21. Pacer Trendpilot US Large Cap ETF- Raymond James T	A	Dividend			Sold	12/28/21	J	C	
22. Energy Transfer LTD - Janney	A	Distribution	J	T					
23. Citigroup Inc - Janney		None			Sold	03/17/21	J	A	
24. IRA #2 - AMG Yacktman Focused Fund	A	Dividend	J	T	Buy (add'l)	07/02/21	J		
25. IRA #2 - Vanguard Dividend Appreciation	A	Dividend			Sold	07/01/21	J	C	
26. IRA #2 - Western Asset Core Bond	A	Dividend	J	T	Sold (part)	07/01/21	J	A	
27. IRA #2 - Brown Advisory Sustainability Growth Fund	A	Dividend	K	T	Sold (part)	07/01/21	J	A	
28. IRA #2 - Fidelity Advisor Growth Opportunities Fund	A	Dividend	J	T	Sold (part)	07/01/21	J	C	
29. IRA #2 - Columbia Mortgage Opportunities Fund	A	Dividend	J	T					
30. IRA #2 - PIMCO Long Term Credit Bond Fund	A	Dividend	J	T	Sold (part)	07/01/21	J	A	
31. BancorpSouth Checking		None	J	T					
32. IRA #3 - Alphabet Incorporated		None	L	T					
33. IRA #3 - Amazon		None	K	T	Sold (part)	03/09/21	J	D	
34. IRA #3 - Apple	A	Dividend	K	T	Sold (part)	03/02/21	J	D	

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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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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35. IRA #3 - Raymond James Bank Deposit	A	Interest	K	T					
36. IRA #4 - Raymond James Bank Deposit		None	J	T					
37. Origin Bank		None	J	T					
38. CVS Health Corp - Janney		None			Sold (part)	03/17/21	J	A	
39.					Sold	03/30/21	J	A	
40. IRA #2 - Janus Henderson Balanced Fund Class	A	Dividend	J	T					
41. IRA #2 - Vanguard Short Term Bond Index Fund Admiral	A	Dividend			Sold	07/01/21	J	A	
42. IRA #2 - Strategic Bond Fund Class F2-American Funds	A	Dividend	J	T	Buy (add'l)	07/06/21	J		
43. IRA #2 - Virtus Kar Mid Cap Growth Fund Class	A	Dividend	J	T	Sold (part)	07/01/21	J	B	
44. IRA #2 - Vanguard 500Index Fund Admiral Shares	A	Dividend	K	T	Sold (part)	07/01/21	J	A	
45. IRA # 2 - MSIF Int'l Advantage Fund Class	A	Dividend	J	T					
46. IRA #2 - MSIFT Discovery Portfolio Class	B	Dividend	J	T	Sold (part)	07/01/21	J	A	
47. IRA #2 - MS Insight Fund Class	A	Dividend	J	T	Sold (part)	07/01/21	J	A	
48. IRA #2 - MSIF Inception Portfolio Class	A	Dividend	J	T	Sold (part)	07/01/21	J	B	
49. IRA #2 - Touchstone Mid Cap Fund Class		None			Sold	10/07/21	J	A	
50. IRA #2 - MFS Int'l Diversification Fund Class	A	Dividend	K	T	Buy (add'l)	07/06/21	J		
51. IRA #2 - Fidelity Small Cap Index Fund	A	Dividend	J	T	Buy (add'l)	07/02/21	J		

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52. IRA #3 - Penn Nat'l Gaming Incorporated (PENN)		None			Sold	12/08/21	J	A	
53. IRA #4 - Dodge & Cox Income Fund N/L (DODIX)	A	Dividend	J	T					
54. IRA #4 - Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	A	Dividend	J	T					
55. IRA #4 - Champlain Small Company fund Inst'l Class N/L (CIPNX)	A	Dividend	J	T					
56. IRA #4 - MFS Research Fund Class I N/L (MRFIX)	A	Dividend	J	T					
57. IRA #4 - Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	A	Dividend	J	T					
58. IRA #4 - Vanguard 500 Index Fund Admiral Shares N/L (VFIAX)	A	Dividend	J	T					
59. Progessive Bank Account #1		None	J	T					
60. Progessive Bank Account #2		None	J	T					
61. Progessiv Bank Accounte #3		None	J	T					
62. Microsoft Corp - Janney	A	Dividend	J	T					
63. QualComm Inc - Janney	A	Dividend	J	T	Buy (add'l)	03/10/21	J		
64. SPDR S&P 500 - Janney	A	Dividend	J	T					
65. Starbucks Corp - Janney		None			Sold	03/10/21	J	B	
66. Meta Platforms Inc Cl A - Janney		None	J	T					
67. IRA #2 - Origin Bancorp Incorporated	A	Dividend	J	T	Buy	02/02/21	J		
68.					Buy (add'l)	03/10/21	J		

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69. IRA #2 - Retractable Technologies Incorporated		None			Buy	02/02/21	J		
70.					Sold	12/06/21	J	A	
71. IRA #2 - Eastgroup PPTYS Incorporated REIT	A	Dividend	J	T	Buy	05/26/21	J		
72. IRA #2 - Baron Opportunity Fund Instl CL N/L	A	Dividend	J	T	Buy	07/02/21	J		
73. IRA #2 - Columbia Dividend Income Fund Instl CL N/L	A	Dividend	J	T	Buy	07/02/21	J		
74. IRA #2 - Janus Henderson Contrarian Fund CL I N/L	A	Dividend	J	T	Buy	07/02/21	J		
75.					Buy (add'l)	10/08/21	J		
76. IRA #2 - Vanguard Long Term Investment Grade Fund Admiral Shares	A	Dividend	J	T	Buy	11/12/21	J		
77. IRA #2 - Virtus Allianzgi Convertible Fund Instl CL N/L	A	Dividend	J	T	Buy	07/06/21	J		
78. IRA #2 Cambria Shareholder Yield ETF	A	Dividend	J	T	Buy	07/06/21	J		
79. IRA #2 - First Trust NASDAQ Rising Dividend Achievers	A	Dividend	J	T	Buy	11/22/21	J		
80. IRA #2 - Pacer Trendpilot US Bond ETF	A	Dividend	J	T	Buy	07/06/21	J		
81. IRA #2 - Vaneck Morningstar Wide Moat ETF	A	Dividend	K	T	Buy	07/06/21	K		
82. IRA #2- Pimco Extended Duration Fund CL 12	A	Dividend			Buy	07/02/21	J		
83.					Sold	11/11/21	J	A	
84. IRA #2 - Ishares TR MSCI USA Value	A	Dividend			Buy	07/06/21	J		
85.					Sold	11/18/21	J	A	

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86. IRA #3 - Abbvie Incorporated	A	Dividend	J	T	Buy	01/29/21	J		
87. Genesis Energy LP - Raymond James T	A	Distribution	J	T	Buy	10/05/21	J		
88. Ishares TR S&P 100 ETF - Raymond James T		None	J	T	Buy	12/23/21	J		
89. Viacomcbs Inc - Janney		None			Buy	03/30/21	J		
90.					Sold	06/08/21	J	A	
91. Braemar Hotels & Resorts Inc - Janney		None	J	T	Buy	03/17/21	J		
92. Paysafe Ltd - Janney		None	J	T	Buy	06/08/21	J		
93. Progressive Bank Account #4 (X)		None	J	T					
94. Progressive Bank Account #5 (X)		None	J	T					

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

Line 3: Purchase price $30,000
Line 4: Book value $50,0001-$100,00
Line 66: Description updated.

Name of Person Reporting	Date of Report
Hicks, Jr., S. Maurice	08/03/2022

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/ S. Maurice Hicks, 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