AO 10
Rev. 1/2019

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
Ho, James C.	U.S. Court of Appeals for the Fifth Circuit	05/15/2022
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		
1100 Commerce Street Suite 1452 Dallas, TX 75242-1310		

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.	2021	Gibson Dunn and Crutcher, LLP - Partnership Income
2.	2021	Alliance Defending Freedom - Honoraria, $1,000
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.	Alliance Defending Freedom, Thomas More Law Center Moot Court	04/12/2021 - 04/15/2021	Washington, DC	Participant (Allyson)	Travel Expenses
2.	Alliance Defending Freedom, Summit On Religious Liberty	07/12/2021 - 07/15/2021	Orlando, FL	Speaker (Allyson)	Travel Expenses
3.	Heritage Foundation, C. Boyden Gray Center for the Study of the Administrative State	10/20/2021 - 10/22/2021	Washington, DC	Speaker	Travel Expenses
4.	First Liberty Institute, Carson v. Makin Moot Court	10/26/2021 - 10/28/2021	Washington, DC	Participant (Allyson)	Travel Expenses

5.	American Enterprise Institute/ Continuity of Government Commission	11/03/2021 - 11/04/2021	Washington, DC	Participant	Travel Expenses
6.	Federalist Society, National Lawyers Convention	11/09/2021 - 11/12/2021	Washington, DC	Speaker	Travel Expenses
7.	Federalist Society, National Lawyers Convention	11/09/2021 - 11/12/2021	Washington, DC	Speaker (Allyson)	Travel Expenses
8.	American Enterprise Institute/ Continuity of Government Commission	12/13/2021 - 12/15/2021	Washington, DC	Participant	Travel Expenses
9.					

Name of Person Reporting	Date of Report
Ho, James C.	05/15/2022

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
Ho, James C.	05/15/2022

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. CitiBank Cash Checking Account	A	Interest	J	T					
2. CitiBank Cash Savings Account	A	Interest	J	T					
3. Wells Fargo Cash Savings Account	A	Interest			Closed	05/01/21	J	A	
4. IRA #1 (H)									
5. Schwab Gov't Money Fund	A	Int./Div.	J	T					
6. DFA Global Real Estate	D	Dividend	M	T	Buy (add'l)	07/16/21	K		
7. Schwab US REIT ETF	B	Dividend	L	T	Sold (part)	07/21/21	J	A	
8.					Sold (part)	07/15/21	K	B	
9.					Buy (add'l)	01/20/21	J		
10. DFA Int'l Core Equity	D	Dividend	M	T					
11. DFA US Core Equity 2	E	Dividend	O	T	Buy (add'l)	12/28/21	K		
12.					Buy (add'l)	08/23/21	L		
13. DFA Micro Cap	D	Dividend	K	T	Sold (part)	12/28/21	K	C	
14.					Sold (part)	09/17/21	J	B	
15.					Sold (part)	08/23/21	L	D	
16. DFA US Targeted Value	C	Dividend	K	T	Sold (part)	12/28/21	K	D	
17.					Sold (part)	09/17/21	K	D	

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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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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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. Schwab Total Stock Market	A	Dividend	L	T	Buy (add'l)	12/28/21	K		
19.					Sold (part)	10/29/21	J	A	
20.					Buy (add'l)	09/17/21	L		
21.					Sold (part)	05/07/21	J	A	
22.					Sold (part)	01/21/21	J	A	
23. IRA #2 (H)									
24. Schwab Gov't Money Fund	A	Int./Div.	J	T					
25. DFA US Core Equity 2	C	Dividend	L	T					
26. DFA US Micro Cap	B	Dividend	K	T					
27. DFA Int'l Small Cap Value	A	Dividend	K	T					
28. Schwab US REIT ETF	A	Dividend	J	T					
29. Base Rate Fund QP LP	A	Dividend	N	T					
30. Schwab Total Stock Market	A	Dividend	J	T	Sold (part)	10/08/21	J	A	
31.					Buy (add'l)	06/25/21	J		
32.					Sold (part)	06/02/21	J	A	
33. IRA #3 (A) (H)									
34. Schwab Gov't Money Fund	A	Int./Div.	L	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		
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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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35. DFA US Targeted Value	E	Dividend	N	T					
36. DFA US Micro Cap	D	Dividend	M	T					
37. DFA US Core Equity 2	D	Dividend	N	T					
38. Schwab US REIT ETF	A	Dividend	L	T	Buy (add'l)	01/20/21	J		
39. DFA Global Real Estate	B	Dividend	K	T					
40. DFA Intl Core Equity	B	Dividend	L	T					
41. DFA Intl Small Cap Value	A	Dividend	K	T					
42. Dodge & Cox Intl Stock	A	Dividend	K	T	Sold (part)	09/17/21	K	B	
43. Schwab Total Stock Mkt	C	Dividend	M	T	Buy (add'l)	12/28/21	K		
44.					Sold (part)	10/29/21	J	A	
45.					Buy (add'l)	09/17/21	K		
46.					Sold (part)	05/21/21	J	A	
47.					Sold (part)	05/07/21	J	A	
48.					Sold (part)	01/21/21	J	A	
49. IRA #4 (A) (H)									
50. DFA Gbl Real Estate	A	Dividend	K	T	Sold (part)	09/17/21	J	B	
51. DFA US Core Equity 2	D	Dividend	M	T	Buy (add'l)	01/20/21	K		

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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52. DFA US Micro Cap	E	Dividend	M	T	Buy (add'l)	01/20/21	K		
53. DFA US Targeted Value	E	Dividend	M	T					
54. Schwab Intl Small Co Index	A	Dividend			Closed	09/17/21	J	B	
55. Schwab S&P 500 Index	A	Dividend	K	T	Buy	09/17/21	K		
56. Schwab Total Stock Market	A	Dividend	K	T	Buy (add'l)	07/09/21	J		
57.					Sold (part)	05/21/21	J	A	
58.					Buy (add'l)	04/01/21	J		
59.					Buy (add'l)	02/08/21	J		
60. Vanguard Real Estate Index	A	Dividend	K	T	Buy	01/20/21	K		
61. Palantir	A	Dividend	M	T	Spinoff (from line 115)	09/14/21	L		
62.					Spinoff (from line 115)	03/30/21	L		
63. 401k #1 (H)									
64. Vanguard Target Retirement 2035		None	M	T	Buy	10/15/21	L		
65. 529 #1 (H)									
66. American Funds Capital Income Builder	C	Dividend	M	T	Buy (add'l)	01/05/21	J		
67. American Funds Capital World Growth & Income	C	Dividend	M	T	Buy (add'l)	01/05/21	J		
68. American Funds Small Cap World	A	Dividend	K	T	Buy (add'l)	01/05/21	J		

1 Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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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
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69.	American Funds New World	A	Dividend	K	T	Buy (add'l)	01/05/21	J		
70.	American Funds Bond Fund of America	B	Dividend	L	T	Buy (add'l)	01/05/21	J		
71.	American Funds Capital World Bond	A	Dividend	K	T	Buy (add'l)	01/05/21	J		
72.	529 #2(H)									
73.	American Funds Capital Income Builder	C	Dividend	M	T	Buy (add'l)	01/05/21	J		
74.	American Funds Capital World Growth & Income	C	Dividend	M	T	Buy (add'l)	01/05/21	J		
75.	American Funds Small Cap World	A	Dividend	K	T	Buy (add'l)	01/05/21	J		
76.	American Funds New World	A	Dividend	K	T	Buy (add'l)	01/05/21	J		
77.	American Funds Bond Fund of America	B	Dividend	L	T	Buy (add'l)	01/05/21	J		
78.	American Funds Capital World Bond	A	Dividend	K	T	Buy (add'l)	01/05/21	J		
79.	Brokerage Account #1 (H)									
80.	Schwab Muni Money Fund	A	Interest	L	T					
81.	DFA Emerging Markets Small	D	Dividend	M	T	Buy (add'l)	02/02/21	K		
82.	DFA Int'l Small Value	D	Dividend	M	T	Buy (add'l)	07/22/21	K		
83.						Buy (add'l)	02/02/21	K		
84.	DFA US Core Equity 2	D	Dividend	M	T	Buy (add'l)	08/23/21	K		
85.						Buy (add'l)	02/02/21	K		

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

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86. DFA Int'l Core Equity	A	Dividend	K	T	Buy (add'l)	07/22/21	K		
87. Dodge & Cox International	D	Dividend	N	T	Buy (add'l)	12/28/21	J		
88.					Buy (add'l)	08/23/21	K		
89.					Buy (add'l)	07/22/21	K		
90.					Buy (add'l)	02/02/21	K		
91. Schwab Total Stock Market	B	Dividend	L	T					
92. American Funds New World	E	Dividend	M	T	Buy (add'l)	07/22/21	K		
93. Vanguard Global Wellington Admiral	C	Dividend	M	T	Buy	01/21/21	L		
94. Schwab S&P 500 Index	B	Dividend	M	T	Sold (part)	09/09/21	K	D	
95.					Sold (part)	08/23/21	K	D	
96.					Sold (part)	07/22/21	L	E	
97. Brokerage Account #2 (H)									
98. Schwab Gov't Money Fund	A	Dividend	J	T					
99. Brokerage Account #3 (H)									
100. Schwab Gov't Money Fund	A	Dividend	J	T					
101. DFA US Core Equity 2 ETF	A	Dividend	J	T	Buy (add'l)	12/16/21	J		
102.					Buy	11/15/21	J		

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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

3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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103. DFA US Core Equity 2 Fund	A	Dividend	J	T	Buy	07/15/21	J		
104. Schwab Total Stock Market Index	A	Dividend	J	T	Buy (add'l)	11/15/21	J		
105.					Buy (add'l)	10/15/21	J		
106.					Buy (add'l)	09/22/21	J		
107.					Buy (add'l)	08/16/21	J		
108.					Buy	07/15/21	J		
109. MetLife Group Variable Universal Life Insurance; Cash Value (H)									
110. Fidelity Variable Insurance Freedom 2040 Portfolio	A	Dividend	N	T					
111. Trust #1 (H)									
112. Schwab Gov't Money Fund	A	Dividend	J	T					
113. Alternative Investments (H)									
114. Goldcrest Capital, LP		None	O	T					
115. CSOP Palantir III, LP (f/k/a Goldcrest Palantir III, LP)		None			Closed	09/14/21	L	A	
116.					Distributed (part)	03/30/21	L	A	
117. Goldcrest Capital Fund II-B, LP		None	M	T					
118. Goldcrest Capital Fund III		None	L	T					
119. Goldcrest Capital Mercury SPV, LLC		None	M	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
Ho, James C.	05/15/2022

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)
120. GDC Partners PE Fund		None	J	T	Buy	07/25/21	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; 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
Ho, James C.	05/15/2022

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

Name of Person Reporting	Date of Report
Ho, James C.	05/15/2022

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 C. Ho

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
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