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 |
|---|---|---|
| WERLEIN, JR., EWING | USDC/SO. DIST. TEXAS | 08/12/2024 |
| **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** |
| DISTRICT JUDGE - SENIOR STATUS | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 1/1/2023 **to** 12/31/2023 |
| **7. Chambers or Office Address** | | |
| 515 RUSK AVENUE, ROOM 11521<br>HOUSTON, TX 77002-2605 | | |

***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. | Director | The Methodist Hospital, Houston, Texas (d/b/a Houston Methodist) |
| 2. | Senior Chair of TMH Board, director ex officio w/vote | Methodist Health Centers; Houston Methodist Hospital Foundation, Houston Methodist Academic Institute; and TMH Health Care Group. |
| 3. | Trustee (Terminated in Dec. 2023) | Trust No. 2 (See Part VIII, n. 1) |
| 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. | | | | | |
| 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 |
|---|---|
| **WERLEIN, JR., EWING** | 08/12/2024 |

## 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. | Halliburton com. | A | Dividend | K | T | | | | | |
| 2. | Halliburton com. | A | Dividend | K | T | | | | | |
| 3. | BP PLC, ADR | B | Dividend | K | T | | | | | |
| 4. | Exxon Mobil com. | D | Dividend | N | T | | | | | |
| 5. | Wal-Mart Stores com. | A | Dividend | L | T | | | | | |
| 6. | Exxon-Mobil com. | C | Dividend | L | T | | | | | |
| 7. | Johnson & Johnson, com. | D | Dividend | N | T | Distributed (part) | 08/24/23 | L | | Kenvue shrs; see Line 28 |
| 8. | Conoco Phillips, com. | C | Dividend | M | T | | | | | |
| 9. | Texas Capital Bankshares, com. | | None | N | T | | | | | |
| 10. | AT&T, com. | B | Dividend | K | T | | | | | |
| 11. | Bristol-Myers Squibb, com. | B | Dividend | K | T | | | | | |
| 12. | Berkshire Hathaway CL B com. | | None | M | T | | | | | |
| 13. | Cisco Systems, com. | A | Dividend | K | T | | | | | |
| 14. | Comcast Corp. Class A | A | Dividend | K | T | | | | | |
| 15. | Intel Corp., com. | B | Dividend | L | T | | | | | |
| 16. | IBM, com. | B | Dividend | K | T | | | | | |
| 17. | JP Morgan Chase, com. | B | Dividend | 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
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. Pepsico, Inc., com. | C | Dividend | M | T | | | | | |
| 19. Target Corp., com. | C | Dividend | | | Donated | | | | |
| 20. Sector SPDR Financial, com. | B | Dividend | L | T | | | | | |
| 21. Phillips 66, com. | C | Dividend | L | T | | | | | |
| 22. Kinder Morgan, com. | B | Dividend | K | T | | | | | |
| 23. Consumer Discretionary SPDR, com. | A | Dividend | L | T | | | | | |
| 24. EPR Properties, com. | A | Dividend | J | T | | | | | |
| 25. Bank of America, com. | B | Dividend | K | T | | | | | |
| 26. Chevron, com. | C | Dividend | L | T | | | | | |
| 27. Starbucks, com. | B | Dividend | L | T | | | | | |
| 28. Kenvue, com. | A | Dividend | L | T | Spinoff (from line 7) | 08/24/23 | L | | part JNJ shrs for Kenvue |
| 29. U.S. Treasury Bill due 10/05/23 | C | Interest | | | Redeemed | 10/05/23 | L | | |
| 30. MUTUAL FUNDS: (H) | | | | | | | | | |
| 31. Fidelity MM Fund | A | Dividend | J | T | | | | | |
| 32. Fidelity Low Price Stock | G | Dividend | P1 | T | | | | | |
| 33. Fidelity Contrafund | E | Dividend | P1 | T | | | | | |
| 34. Fidelity Mid-Cap Stock | E | Dividend | O | T | | | | | |

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2. Value Codes (See Columns C1 and D3)
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|---|---|---|---|---|---|---|---|---|---|
| 35. LPL: Ins'd bank cash dep. sweep | A | Interest | J | T | | | | | |
| 36. JP Morgan Large Cap Growth Sel. | A | Dividend | L | T | Sold (part) | 11/10/23 | J | A | |
| 37. New Perspective Fund 2 | C | Dividend | K | T | | | | | |
| 38. Invesco High Yield Mun. Cl. Y | B | Dividend | | | Sold | 05/02/23 | L | | |
| 39. Eaton Vance Flt. Rt. Advntg. | B | Dividend | | | Sold | 05/02/23 | K | | |
| 40. BNY Mellon Equity Income | C | Dividend | L | T | | | | | |
| 41. Touchstone Mid Cap CLY | | None | | | Sold | 05/02/23 | K | D | |
| 42. Fidelity OTC Port. Fund | A | Dividend | M | T | | | | | |
| 43. Voya Strategic Income Opptys CLI IISIX | A | Dividend | | | Sold | 02/01/23 | L | | |
| 44. Neuberger Berman Long Short Instl. Cl. | | None | | | Sold | 11/02/23 | K | | |
| 45. SPDR S&P 500 ETF | B | Dividend | M | T | Buy (add'l) | 11/02/23 | L | | |
| 46. Fidelity Stock Selector Small Cap | A | Dividend | M | T | | | | | |
| 47. Fidelity 500 Index Fund | C | Dividend | N | T | | | | | |
| 48. Fidelity Govt MM | A | Dividend | K | T | | | | | |
| 49. Fidelity MM Premium Cl. | E | Dividend | O | T | | | | | |
| 50. Amer. Century Short Duration Strategic | A | Dividend | | | Sold | 05/02/23 | K | | |
| 51. Pacer US Cash Certs. 100 ETF | B | Dividend | L | T | Sold (part) | 08/30/23 | K | B | |

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|---|---|---|---|---|---|---|---|---|---|
| 52. Newberger Berman Absolute Return Multi | A | Dividend | K | T | Sold (part) | 08/21/23 | K | | |
| 53. Nuveen Preferred Secs & Inc. CLI | B | Dividend | | | Sold | 09/02/23 | K | | |
| 54. Invesco S&P 500 Downside Hedged | | None | | | Sold | 02/06/23 | K | A | |
| 55. JP Morgan Liquid MM Assets | B | Dividend | | | Closed | 11/10/23 | K | | |
| 56. Fidelity Govt MM | D | Dividend | N | T | | | | | |
| 57. Fidelity 500 Index Fund | B | Dividend | M | T | | | | | |
| 58. Guggenheim Strat. Opptys Fund (GOF) | C | Dividend | K | T | Buy | 05/02/23 | K | | |
| 59. Doubleline Emerging Markrts (DBLEX) | A | Dividend | | | Buy | 05/02/23 | K | | |
| 60. | | | | | Sold | 08/30/23 | K | | |
| 61. Fidelity Advisor Total Bond (FEPIX) | B | Dividend | L | T | Buy | 05/02/23 | L | | |
| 62. | | | | | Sold (part) | 08/30/23 | J | | |
| 63. MFS Intl Diversification (MDIJX) | | None | | | Buy | 05/02/23 | K | | |
| 64. | | | | | Buy (add'l) | 08/30/23 | K | | |
| 65. | | | | | Sold | 10/27/23 | K | | |
| 66. Nationwide Amundi Strat. Inc. (NWXHX) | B | Dividend | K | T | Buy | 05/02/23 | K | | |
| 67. | | | | | Buy (add'l) | 08/21/23 | K | | |
| 68. | | | | | Sold (part) | 08/30/23 | K | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 69. PGIM Short Duration High Yield (HYSZK) | A | Dividend | K | T | Buy | 05/02/23 | K | | |
| 70. | | | | | Sold (part) | 08/30/23 | J | A | |
| 71. | | | | | Buy (add'l) | 11/02/23 | K | | |
| 72. SPDR Port E/Markets (SPEM) | A | Dividend | | | Buy | 05/02/23 | K | | |
| 73. | | | | | Sold | 08/30/23 | K | A | |
| 74. SPDR Series Trust S&P 600 (SPSM) | A | Dividend | | | Buy | 05/02/23 | K | | |
| 75. | | | | | Sold | 11/02/23 | K | | |
| 76. Blackrock E/Mkts Inst. C1 (MADCX) | | None | | | Buy | 08/30/23 | K | | |
| 77. | | | | | Sold | 10/27/23 | K | | |
| 78. Investco S&P 400 Midcap (RWK) | A | Dividend | J | T | Buy | 11/02/23 | J | | |
| 79. Catalyst Floating Rate Inc. (CFRIX) | A | Dividend | K | T | Buy | 11/02/23 | K | | |
| 80. Pimco Income (PONPX) | A | Dividend | K | T | Buy | 08/30/23 | K | | |
| 81. | | | | | Buy (add'l) | 11/02/23 | J | | |
| 82. Victory Short Term Bond (USSBX) | A | Dividend | K | T | Buy | 11/10/23 | K | | |
| 83. ACCOUNTS IN FINANCIAL INST: (H) | | | | | | | | | |
| 84. Bank of America, Houston, TX (Accounts) | A | Interest | N | T | | | | | |
| 85. Comerica Bank, Houston, TX (Accounts) | C | Interest | | | Closed | 11/02/23 | J | | |

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|---|---|---|---|---|---|---|---|---|---|
| 86. Stellar Bank (f/k/a Allegiance Bank) Houston (Accounts) | A | Interest | | | Closed | 03/30/23 | L | | |
| 87. Zions Bancorp. | A | Interest | M | T | | | | | |
| 88. Stellar Bank (f/k/a Allegiance Bank) Houston (Accounts) | B | Interest | L | T | | | | | |
| 89. JP Morgan Secs. Bank dep. program | | None | | | Closed | 01/24/23 | J | | |
| 90. Bank of America, Houston, TX (Account) | | None | J | T | Open | 10/06/23 | N | | |
| 91. Merrill Edge Accts | B | Interest | J | T | Open | 10/16/23 | N | | See Note (2) in Part VIII |
| 92. --Wells Fargo CD due 04/24/25 | | Interest | M | T | Buy | 10/16/23 | M | | See Note (2) in Part VIII |
| 93. --Bank of America CD due 04/25/25 | | Interest | J | T | Buy | 10/17/23 | J | | See Note (2) in Part VIII |
| 94. --Sofi Bank CD due 04/30/25 | | Interest | M | T | Buy | 10/17/23 | M | | See Note (2) in Part VIII |
| 95. Beal Bank, Houston, TX CD due 03/16/24 | D | Interest | M | T | Buy | 03/16/23 | M | | |
| 96. Merrill Edge Accts | B | Interest | M | T | Open | 09/26/23 | N | | See Note (2) in Part VIII |
| 97. --Bank of America CD due 10/03/24 | | Interest | M | T | Buy | 09/26/23 | M | | See Note (2) in Part VIII |
| 98. REAL ESTATE: (H) | | | | | | | | | |
| 99. Condo-Larimer County, CO | E | Rent | O | W | | | | | |
| 100. Working Interest-Cabot U., Andrews County, TX | B | Royalty | J | W | | | | | |
| 101. Mineral Interest, Wheeler County, TX | A | Royalty | J | W | | | | | |
| 102. Mineral Interests, Martin and Dawson Counties, TX | F | Royalty | M | W | | | | | |

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 |
|---|---|
| **WERLEIN, JR., EWING** | 08/12/2024 |

## 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)<br>Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period<br>(1) Amount Code 1 (A-H) | <br>(2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | <br>(2) Value Method Code 3 (Q-W) | D. Transactions during reporting period<br>(1) Type (e.g., buy, sell, redemption) | <br>(2) Date mm/dd/yy | <br>(3) Value Code 2 (J-P) | <br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 103. Mineral Interest, Glasscock County, TX | G | Royalty | O | W | | | | | |
| 104. Mineral Interests, Howard County, TX | G | Royalty | N | W | | | | | |
| 105. Mineral Interests, Galveston County, TX | | None | J | W | | | | | |
| 106. RETIREMENT & IRA ACCOUNTS: (H) | | | | | | | | | |
| 107. IRA Acct: John Hancock Ind. Ret.Annuity (Fixed) | | None | K | V | Distributed (part) | 12/31/23 | J | A | See Note (1) in Part VIII |
| 108. IRA ROLLOVER ACCOUNT: (H) | | | | | | | | | |
| 109. --Citibank & other banks FDIC Ins. Bank Deposit Sweeps | C | Interest | N | T | | | | | |
| 110. --Berkshire Hathaway CL B | | None | M | T | Sold (part) | 12/07/23 | K | E | |
| 111. --Home Depot, com. | D | Dividend | N | T | Sold (part) | 12/07/23 | K | E | |
| 112. --Microsoft, com. | B | Dividend | M | T | Sold (part) | 12/07/23 | K | E | |
| 113. --Stryker Corp., com. | B | Dividend | M | T | Sold (part) | 12/07/23 | K | E | |
| 114. --Thermo Fish. Sc., com. | A | Dividend | M | T | Sold (part) | 12/07/23 | K | E | |
| 115. --Fidelity Low Priced Stock | G | Dividend | O | T | | | | | |
| 116. --Fidelity OTC Port | A | Dividend | O | T | Sold (part) | 12/07/23 | K | F | |
| 117. --Fidelity 500 Index | D | Dividend | O | T | Sold (part) | 12/07/23 | L | E | |
| 118. --Fidelity Select Medical Equip & System | | None | L | T | | | | | |
| 119. --Fidelity Select Software & IT | D | Dividend | 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

3. Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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| Name of Person Reporting | Date of Report |
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| **WERLEIN, JR., EWING** | 08/12/2024 |

## 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. --Fidelity Contrafund | D | Dividend | M | T | | | | | |
| 121. IRA ROLLOVER ACCT NO. 2: (H) | | | | | | | | | |
| 122. CORPORATE BONDS/NOTES IN IRA ROLLOVER ACCT #2: (H) | | | | | | | | | |
| 123. --McDonald's Notes due 4/1/2023 | B | Interest | | | Redeemed | 04/03/23 | L | | |
| 124. --State Street Notes due 5/15/23 | B | Interest | | | Redeemed | 05/15/23 | L | | |
| 125. --Morgan Stanley Notes due 10/23/24 | C | Interest | L | T | | | | | |
| 126. --Verizon Communications Notes due 11/1/24 | C | Interest | L | T | | | | | |
| 127. --JP Morgan Notes due 10/01/26 | C | Interest | L | T | | | | | |
| 128. --Wells Fargo Notes due 09/29/2025 | C | Interest | L | T | | | | | |
| 129. --Mastercard Notes due 11/21/26 | C | Interest | L | T | | | | | |
| 130. --Amazon.com Inc. Notes due 04/13/27 | C | Interest | L | T | | | | | |
| 131. --Pepsico Corp. Resources Inc. Notes due 10/15/27 | C | Interest | L | T | | | | | |
| 132. --Philip Morris Notes due 08/11/25 | C | Interest | L | T | | | | | |
| 133. --Home Depot Notes due 12/06/23 | B | Interest | L | T | Buy | 09/27/23 | L | | |
| 134. --Intercontnl Exch. Notes due 09/21/28 | | None | L | T | Buy | 12/14/23 | L | | |
| 135. --Treasury Bill due 09/28/23 | B | Interest | | | Buy | 04/04/23 | L | | |
| 136. | | | | | Redeemed | 09/28/23 | L | | |

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
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| Name of Person Reporting | Date of Report |
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| **WERLEIN, JR., EWING** | 08/12/2024 |

## 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 137. --Treasury Bill due 12/0723 | C | Interest | | | Buy | 06/08/23 | L | | |
| 138. | | | | | Redeemed | 12/07/23 | L | | |
| 139. EQUITIES IN IRA ROLLOVER ACCT #2: (H) | | | | | | | | | |
| 140. --American Express, com. | A | Dividend | K | T | Sold (part) | 08/09/23 | K | E | |
| 141. --Chevron, com. | D | Dividend | M | T | | | | | |
| 142. --KO, com. | C | Dividend | M | T | | | | | |
| 143. --Exxon Mobil, com. | D | Dividend | M | T | | | | | |
| 144. --J.P. Morgan Chase, com. | C | Dividend | M | T | | | | | |
| 145. --JNJ, com. | B | Dividend | L | T | Distributed (part) | 08/24/23 | K | | Kenvue shrs; see Line 180 |
| 146. --Merck, com. | A | Dividend | K | T | | | | | |
| 147. --PEP, com. | B | Dividend | L | T | | | | | |
| 148. --S&P Global, com. | A | Dividend | M | T | | | | | |
| 149. --Altria Group, com. | D | Dividend | L | T | Sold (part) | 08/09/23 | K | E | |
| 150. --Automatic Data Proc., com. | B | Dividend | L | T | | | | | |
| 151. --Linde, PLC, com. | B | Dividend | M | T | | | | | |
| 152. --Procter & Gamble., com. | B | Dividend | L | T | | | | | |
| 153. --RTX, com. f/k/a Raytheon Technologies | 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
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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.)*

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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) | |
|---|---|---|---|---|---|---|---|---|---|
| 154. --Texas Instruments, com. | C | Dividend | M | T | | | | | |
| 155. --Abbott Labs, com. | B | Dividend | L | T | | | | | |
| 156. --McDonald's, com. | B | Dividend | L | T | | | | | |
| 157. --Philip Morris Intl, com. | D | Dividend | M | T | | | | | |
| 158. --Nestle Sponsored ADR, com. | A | Dividend | K | T | | | | | |
| 159. --Roche Holdings Ltd. Spon. ADR, com. | B | Dividend | L | T | | | | | |
| 160. --Walt Disney Co., com. | | None | | | Sold | 08/09/23 | K | E | |
| 161. --Air Products & Chems., com. | B | Dividend | L | T | | | | | |
| 162. --Black Rock, com. | B | Dividend | M | T | | | | | |
| 163. --Novo Nordisk AS ADR, com. | B | Dividend | M | T | | | | | |
| 164. --Abbvie Inc., com. | C | Dividend | L | T | | | | | |
| 165. --Canadian Pac Kansas City, com. f/k/a Canadian Pac Ty Ltd. | A | Dividend | K | T | | | | | |
| 166. --Chubb Ltd., com | A | Dividend | | | Sold | 08/09/23 | K | E | |
| 167. --Intercontinental Exchange Group, com. | A | Dividend | L | T | | | | | |
| 168. --VISA, com. | A | Dividend | M | T | Buy (add'l) | 08/09/23 | K | | |
| 169. --Intuitive Surgical, com. | | None | L | T | | | | | |
| 170. --Microsoft, com. | C | Dividend | N | 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

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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.)*

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|---|---|---|---|---|---|---|---|---|---|
| 171. --Union Pac., com. | B | Dividend | L | T | | | | | |
| 172. --United Health Group, com. | B | Dividend | M | T | | | | | |
| 173. --Otis Worldwide, com. | A | Dividend | J | T | | | | | |
| 174. --Lauder Estee Cos., com. | A | Dividend | J | T | | | | | |
| 175. --Sherwin Williams Co., com. | A | Dividend | K | T | | | | | |
| 176. --Zoetis Inc., com. | A | Dividend | J | T | | | | | |
| 177. --Organon & Co., com. | A | Dividend | | | Sold | 08/09/23 | J | A | |
| 178. --CME Group Inc., com. | A | Dividend | K | T | Buy | 08/09/23 | J | | |
| 179. --Mastercard Inc., com. | A | Dividend | L | T | Buy | 08/09/23 | L | | |
| 180. --Kenvue, com. | A | Dividend | | | Spinoff (from line 145) | 08/24/23 | K | | part JNJ shrs for Kenvue |
| 181. | | | | | Sold | 08/29/23 | K | E | |
| 182. CASH ACCOUNTS IN IRA ROLLOVER ACCT NO. 2: (H) | | | | | | | | | |
| 183. --Raymond James Ins'd Bank Dep Program | A | Interest | L | T | | | | | |
| 184. IRA ROLLOVER NO. 3: (H) | | | | | | | | | |
| 185. --Lord Abbett Short Fund | E | Dividend | N | T | | | | | |
| 186. --IShares Barclays TIPS BO | C | Dividend | | | Sold | 10/23/23 | M | | |
| 187. --Invesco Oppenheimer Senior Floating Rate | C | Dividend | L | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 188. --AT&T Inc., com. | C | Dividend | L | T | | | | | |
| 189. --Bristol Meyers, com. | B | Dividend | L | T | | | | | |
| 190. --Caterpillar, com. | B | Dividend | L | T | | | | | |
| 191. --Coca Cola, com. | B | Dividend | L | T | | | | | |
| 192. --McDonald's, com. | B | Dividend | L | T | | | | | |
| 193. --Wal-Mart, Inc., com. | B | Dividend | L | T | | | | | |
| 194. --Warner Bros Discovery, Inc., com. | | None | | | Sold | 10/23/23 | J | | |
| 195. --JP Morgan Deposit Sweep Acct. | A | Interest | J | T | | | | | |
| 196. --JP Morgan 100% Treas. Sec. MM Fd. | A | Dividend | L | T | Buy (add'l) | 10/23/23 | L | | |
| 197. TRUST NO. 2: (H) | | | | | | | | | See Part VIII, n. 1. |
| 198. --Fidelity MM | E | Dividend | | | Distributed | 12/06/23 | N | | See Part VIII, n. 1. |
| 199. --Fidelity Low Price Stock | E | Dividend | | | Distributed | 12/06/23 | O | | See Part VIII, n. 1. |
| 200. --Fidelity OTC Portfolio Fund | | None | | | Distributed | 12/06/23 | O | | See Part VIII, n. 1. |
| 201. --Fidelity MSCI Consumer ETF | A | Dividend | | | Distributed | 12/06/23 | L | | See Part VIII, n. 1. |
| 202. --Fidelity 500 Index Fund | C | Dividend | | | Distributed | 12/06/23 | N | | See Part VIII, n. 1. |

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

(1) Part 1, Line 3; and Part VIII, Lines 197-202. Trust No. 2 was fully distributed to the beneficiaries on December 6, 2023, the Trust was terminated, and I am no longer a Trustee of any trust.

(2) Part VII, Lines 91-94, and Lines 96-97. CDs under the Merrill Edge Accounts were purchased through Merrill, and interest payments from the issuing banks are paid to Merrill, not to the owner of the Merrill Account(s). Merrill reports the interest income on IRS Forms 1099 as interest income entirely from Merrill. The report here is the same as on our federal income tax return.

(3) Part VII, page 10, Line 107; the year-end value of IRA account in John Hancock Ind. Retirement Annuity, which is not publicly traded, was provided by John Hancock Life Ins. Co.

| Name of Person Reporting | Date of Report |
|---|---|
| WERLEIN, JR., EWING | 08/12/2024 |

## 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/ EWING WERLEIN, 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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