



Filing ID #10029982

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Brian Babin
Status: Member
State/District: TX36

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2018
Filing Date: 11/12/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Brian Babin DDS Dental Practice [RP]		\$100,001 - \$250,000	sale	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Woodville, TX, US					
Chevron Corporation (CVX) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Citizen State Bank [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Community Bank of Texas [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Community Bank of Woodville [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Education First Bank Account [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Education First Federal Credit Union [BA]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Exxon Mobil Corporation (XOM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
land parcel [RP] LOCATION: Woodville, TX, US		\$250,001 - \$500,000	None		<input type="checkbox"/>
Lincoln Financial Life Insurance [WU] DESCRIPTION: cash value		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Summit Brokerage Services ⇒ Fidelity Select Ports Defense & Aerospace FSDAX [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Summit Brokerage Services ⇒ Franklin Cust Dyna Tech FKDNX [MF]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Summit Brokerage Services ⇒ Franklin Custodian Growth FKGRX [MF]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Summit Brokerage Services ⇒ Franklin Income Fund [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Summit Brokerage Services ⇒ Franklin Money Fund Class A [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>
TD Ameritrade Bank Account [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
UBS IRA 3 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS IRA 3 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS IRA 3 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS IRA 3 ⇒ Vanguard Total Stock Market ETF (VTI) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS Resource Management Account ⇒ Aberdeen Ultra Short Municipal Income Fund ATOIX [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
UBS Resource Management Account ⇒ Alpine Income Short Municipal Income Fund- ATOIX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS Resource Management Account ⇒ American Century Inflation Adjusted [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Resource Management Account ⇒ Blackrock Equity Dividend Fund C MCDVX [IH]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Blackrock High Yield Bond C BHYCX [IH]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Blackrock National Municipal Fund- MANLX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Growth Fund of America GFFFX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
UBS Resource Management Account ⇒ Henderson International Opportunities Fund- HFOIX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Hi-Crush Partners- HCLP [IH]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Invesco Convertible Securities Fund Class C CNSCX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Resource Management Account ⇒ Janus Henderson Mid Cap Value Fund JMVAX [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
UBS Resource Management Account ⇒ Oppenheimer Developing Markets- ODVYX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ PACE Government Money Market Investment Fund- PCEXX [BA]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Perkins Mid Cap Value [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	<input type="checkbox"/>
UBS Resource Management Account ⇒ Plains All Amer Pipeline- NYSE [IH]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ UBS Bank [IH]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS Resource Management Account ⇒ US Small Cap Growth Fund [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Virtus Multi-Sector Short Term Bond- PSTCX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
UBS Resource Management Account ⇒ Voya Corporate Leaders Trust- LEXCX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Western Asset Municipal- LMHIX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
UBS SEP-IRA ⇒ American Century Inflation Adjusted Treasury- ACITX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ American Funds American High Income Trust Fund Class C AHTCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ American Funds American Mutual Fund Class C AMFCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ American Funds Capital Income Builder Fund Class C CIBCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ American Funds Income Fund of America Class C IFACX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ American Funds US Government Securities Fund Cl C UGSCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Barrick Gold Corp Cad ABX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Deutsche Capital Growth- SCGSX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ DWS Capitol Growth Fund SCGSX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA ⇒		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fortress Transn & IN FTAI [IH]					
UBS SEP-IRA ⇒ Gabelli Small Cap Growth- GACIX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Goldman Sachs Short Duration Gov- GSTGX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Hartford International- IHOIX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Invesco Mid Cap Core- GTAYAX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Ishares US Aerospace & Defense- ITA [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ MAN-AHL Diversified I Class B [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Silver Wheaton Corp- SLW [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Templeton Glbal Bond- TGBAX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Transamerica High Yield Bond- TDHIX [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Virtus Emerging Markets- HIEMX [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Voya Corporate Leaders- LEXCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Williams Partners LP MLP WPZ [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ American Funds American High-Inc C AHTCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ American Funds American Mutual C Fund- AMFCX [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS SEP-IRA 2 ⇒ American Funds Capital Income Builder Fund- CIBCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ American Funds Income Fund- IFACX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ American Funds US GOV Money Market Fund AFCXX [IH]		\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ American Funds US Government Securities Fund C-UGSCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Approach Resources- AREX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ BHP Billiton- BHP [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Compass Diversified Holdings- CODI [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Deutsche Global Infrastructure Fund- TOLCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ DWS RREEF global Infrastructure Fund TOLCX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA 2 ⇒ Enbridge Energy Partners- MLP [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Energy Transfer Equity- ETE [IH] DESCRIPTION: Exchanged		None	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA 2 ⇒ Energy Transfer LP Units LTD Partnership- ET [MF] DESCRIPTION: exchange		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA 2 ⇒ Enterprise Products Partner- EPD [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
EV Energy Partners [IH]					
UBS SEP-IRA 2 ⇒ Fidelity Advisor Industrials C Fund- FCLCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Fidelity Advisor Industrials- FCLAX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ First Eagle Gold- FEGOX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Goldcorp Inc- GG [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Huntington Inglas- HII [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ IAMGOLD Corp- IAG [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Invesco Real Estate- IARCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Kinder Morgan Inc [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Loomis Sayles Strategic- NEZTX [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Market Vectors Gold Miners- GDX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Merk Hard Currency- MERKX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ MFS Emerging Markets- MEDCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Newmont Mining Corp- NEM [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Permanent Portfolio Fund- PRPFX [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS SEP-IRA 2 ⇒ PGIM JENN Natural Resources PNRZX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA 2 ⇒ Prudential Jennison Natural Resources- PNRZX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Range Resources- RRC [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Seadrill LTD- SDRL [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ South32 LTD- SOUHY [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ TCW Emerging Markets- TGEIX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Templeton Gblal- TGBAX [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ UBS Bank [IH]		\$15,001 - \$50,000	None		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Virtus Real Estate- PHRCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Virtus Vontobel Emerging Markets Opportunities Fund PICEX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
UBS SEP-IRA 2 ⇒ Westshore Terms Invst Corp- WTSHF [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Brian Babin DDS Dental Practice [OT]		Monthly	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: Woodville, TX, US					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: 5 year agreement to sell dental practice					
UBS Resource Management Account ⇒ Aberdeen Ultra Short Municipal Income Fund ATOIX [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Blackrock National Municipal Fund MANLX [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Growth Fund of America GFFFX [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Henderson International Opportunities Fund [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Janus Henderson Mid Cap Value Fund [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Voya Corporate Leaders Trust [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Western Asset Minicipal LMHIX [MF]	JT	11/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ American Century Infl-Adj Bond Fund AIAHX [MF]		01/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ Fidelity Advisor Industrials FCLCX [MF]		01/8/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ Goldman Sachs Short Duration Gov FD GSTGX [MF]		01/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ Hartford International Opportunities Fund [MF]		01/18/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ Transamerica High Yield Bond Fund TDHIX [MF]		01/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA ⇒ Voya Corporate Leaders Trust LEXCX [MF]		01/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA 2 ⇒ DWS RREEF Global Infrastructure Fund TOLCX [MF]		11/5/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
UBS SEP-IRA 2 ⇒ Energy Transfer Equity- ETE [MF]		12/20/2018	E	\$15,001 - \$50,000	
DESCRIPTION: exchanged to Energy Transfer LP Unites LTD Partnership- ET					
UBS SEP-IRA 2 ⇒ PGIM JENN Natural Resources PNRZX [MF]		11/5/2018	P	\$1,001 - \$15,000	
UBS SEP-IRA 2 ⇒ Virtus Vontobel Emerging Markets Opportunities Fund PICEX [MF]		11/5/2018	P	\$1,001 - \$15,000	

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
From the Depths	08/18/2018	08/23/2019	Houston, TX - Warsaw, Poland - Houston, TX	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Summit Brokerage Services
- UBS IRA 3 (Owner: SP)
- UBS Resource Management Account (Owner: JT)
LOCATION: US
- UBS SEP-IRA
- UBS SEP-IRA 2

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Brian Babin , 11/12/2019