



Filing ID #10038223

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 08/12/2020

## 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]		\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Woodville, TX, US					
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	\$1,001 - \$15,000	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	\$1 - \$200	<input type="checkbox"/>
UBS Resource Management Account ⇒ Alpine Income Short Municipal Income Fund- ATOIX [IH]	JT	None	Capital Gains, Dividends	None	<input type="checkbox"/>
UBS Resource Management Account ⇒ American Century Inflation Adjusted [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS Resource Management Account ⇒ Blackrock Equity Dividend Fund C MCDVX [IH]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Blackrock High Yield Bond C BHYCX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<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 ⇒ Emerging Markets Bond Fund- MEDCX [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
UBS Resource Management Account ⇒ Fidelity Advisor Industrial Funds- FCLIX [MF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input checked="" 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 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- HCR [IH]	JT	\$1 - \$1,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ Invesco Convertible Securities Fund Class C CNSCX [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Janus Henderson Mid Cap Value Fund JMVAX [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
UBS Resource Management Account ⇒ Oppenheimer Developing Markets- ODVYX [IH]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<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- PAA [IH]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
UBS Resource Management Account ⇒ UBS Bank [IH]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
UBS Resource Management Account ⇒ US Small Cap Growth Fund [IH]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<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]		\$15,001 - \$50,000	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]		None	None		<input 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?
DWS Capitol Growth Fund SCGSX [MF]					
UBS SEP-IRA ⇒ Fortress Transn & IN FTAI [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
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]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA ⇒ Virtus Emerging Markets- HIEMX [IH]		\$1,001 - \$15,000	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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
UBS SEP-IRA 2 ⇒ American Funds American Mutual C Fund- AMFCX [IH]		\$15,001 - \$50,000	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]		None	None		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ DWS RREEF global Infrastructure Fund TOLCX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input 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 LP Units LTD Partnership- ET [MF] DESCRIPTION: exchange		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Enterprise Products Partner- EPD [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ EV Energy Partners [IH]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Fidelity Advisor Industrials C Fund- FCLCX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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]		\$15,001 - \$50,000	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]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Permanent Portfolio Fund- PRPFX [IH]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ PGIM JENN Natural Resources PNRZX [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Prudential Jennison Natural Resources- PNRZX [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
UBS SEP-IRA 2 ⇒ Westshore Terms Invt 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?
UBS Resource Management Account ⇒ Emerging Markets Bond Fund- MEDCX [IH]	JT	09/23/2019	P	\$1,001 - \$15,000	
UBS Resource Management Account ⇒ Fidelity Advisor Industrial Fund- FCLIX [MF]	JT	10/11/2019	P	\$1,001 - \$15,000	
UBS SEP-IRA 2 ⇒ Newmont Mining Corp- NEM [MF]		04/18/2019	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**

None disclosed.

### **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 , 08/12/2020