

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Hale, Harlin D.	2. Court or Organization Bankruptcy Court - NDTX	3. Date of Report 05/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Bankruptcy Court 1100 Commerce Street - #1254 Dallas, Texas 75242-1496		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board of Advisors	George W. & Jean H. Pugh Institute
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 04/30/2011	Southern Methodist University (teaching)	\$15,000.00
2. 11/30/2011	Southern Methodist University (teaching)	\$9,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Dallas Independent School District
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. TX State Bar - Bankruptcy Section	02/18-20/2011	Austin, TX	Elliott Cup Competition - Judge	Transportation, food, lodging
2. TX State Bar - Bankruptcy Section	05/25-27/2011	Horseshoe Bay, TX	Bankruptcy Bench/Bar - Speaker	Transportation, food, lodging
3. Univ. of TX School of Law	08/10-12/2011	Galveston, TX	Consumer Bkcy. Conf. - Speaker	Transportation, food, lodging
4. TX A&M Real Estate Center	08/25-27/2011	San Antonio, TX	Ad Valorem Taxation Sem...-Spkr.	Transportation, food, lodging
5. Federal Bar Assn. - Dallas Bkcy. Sect.	09/09-10/2011	Chicago, IL	FBA Ann. Mtg.- Dallas.Exec.Bd.	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

6.	Natl. Conf. of Bkey. Jds.	10/12-15/2011	Tampa, FL	Annual Meeting	Partial lodging
7.	LA State University - School of Law	10/21-22/2011	Baton Rouge, LA	Bankruptcy Seminar - Speaker	Transportation, food, lodging
8.	Commercial Law League of America	11/11-13/2011	New York City, NY	Fall Meeting - Speaker	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Citibank	Credit card	J
2.	Capital One	Credit card	J
3.	Chase Bank	Credit card	J
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. Cross Keys Bank accounts	B	Interest	J	T					
2. Cross Keys Bank stock	B	Dividend	K	T					
3. Blue Cross FCU account	B	Interest	K	T					
4. Belt West Ltd. Partnership		None	J	U					
5. STERLING TRUST IRA									
6. - Southwest Airlines		None	J	T					
7. - Home & Hearth Ltd. P'Ship		None	J	T					
8. STERLING TRUST IRA									
9. - Miller Co. Ltd. P'Ship		Distribution	K	T					
10. - Exxon Mobil	B	Dividend	J	T					
11. Farm - Tensas Parish, LA		None			Sold	01/05/11	M	F	Richard M. Hale
12. Bank of America	C	Interest	J	T					
13. Wells Fargo	A	Interest	J	T					
14. EQUITABLE IRA		None	M	T					
15. - EQ/Core Bond Index									
16. - EQ/Marsico Focus									
17. - EQ/BlackRock Intl Val									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. - EQ/PIMCO Real Return									
19. - EQ/Van Kampen Comstock									
20. - EQ/Evergreen Intl Bond									
21. - EQ/Davis NY Venture									
22. - EQ/Franklin Income									
23. EDWARD JONES	B	Dividend	L	T					
24. - Cap World Growth & Income Fund CLA	A	Dividend	K	T					
25. - Tax Exempt Bond Fund Amer CLA	B	Dividend	K	T					
26. Exxon Mobil	B	Dividend	L	T					
27. Texins Federal Credit Union	B	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/13/2012

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/ **Harlin D. Hale**

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