

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Haynes, Catharina D.	2. Court or Organization Fifth Circuit	3. Date of Report 04/28/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 1100 Commerce Street Rm. 1452 Dallas, TX 75242		
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. Advisory Board Member	Emory University School of Law Alumni Advisory Board (see note in Section VIII)
2. Board Member/Secretary (term as secretary commenced August 2013)	Appellate Judges Education Institute (see note in Section VIII)
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 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

04/28/2014

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Thompson & Knight Law Partnership Income
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. American Bar Association Judicial Division Appellate Judges Conf.	August 9-11, 2013	San Francisco, CA	Board meeting of Appellate Judges Conference	hotel and meal
2. Houston Bar Association	10/17/2013	Houston, TX	Speak at CLE presentation	travel and lunch
3. Eastern District of Texas Bar Association	10/31/2013-11/1/2013	Plano, TX	Speak at E.D. Texas Bench/ Bar	hotel and meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

04/28/2014

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

04/28/2014

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)
1. Bank of America Accounts	C	Interest	P1	T					
2. Janus Money Fund	A	Interest	J	T					
3. T. Rowe Price (TRP) Prime Reserve Fund	A	Interest	O	T					
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	B	Dividend	M	T	Buy	10/07/13	J		
6. TRP New America Growth	E	Dividend	M	T					
7. TRP Health Science Fund	E	Dividend	O	T	Buy	10/07/13	J		
8. TRP Tax Efficient Equity	D	Dividend	N	T	Buy	02/06/13	J		
9.					Buy (add'l)	10/07/13	J		
10. TRP Tax Free Income	E	Dividend	O	T	Buy	02/06/13	J		
11.					Buy (add'l)	10/07/13	J		
12. TRP Tax Free Short Intermediate	A	Dividend	K	T					
13. IBM	B	Dividend	L	T					
14. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
15. Franklin Mutual Shares Class Z	D	Dividend	O	T					
16. Janus Fund	C	Dividend	N	T					
17. TRP Capital Appreciation	B	Dividend	K	T	Buy	02/06/13	J		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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☐ 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)

18.					Buy (add'l)	10/07/13	J		
19. TRP Equity Income Fund	D	Dividend	M	T	Redeemed (part)	06/03/13	J		
20. Vanguard REIT Fund	D	Dividend	N	T	Buy	02/04/13	K		
21.					Buy (add'l)	06/20/13	J		
22.					Buy (add'l)	10/07/13	J		
23. Vanguard 500 Index Fund	D	Dividend	O	T	Buy	06/20/13	J		
24.					Buy (add'l)	10/07/13	J		
25. Vanguard TM Small Cap	C	Dividend	N	T	Buy	02/04/13	J		
26.					Buy (add'l)	06/20/13	J		
27.					Buy (add'l)	10/17/13	J		
28. US EE Savings Bond	C	Dividend	L	T					
29. TRP Retirement 2020 (IRA)	B	Dividend	K	T					
30. TRP Retirement 2030 (IRA)	D	Dividend	N	T					
31. Thompson Knight Partnership Equity		None	M	U	Buy	12/31/13	J		
32. TX Emp. Ret. Plan	B	Dividend	M	T					
33. -Vanguard Institutional Fund,									
34. -Vanguard Growth Fund									

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 9

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35. -Black Rock Bond Fund									
36. State of Tx. Judicial Retirement Equity	C	Interest	L	T					
37. Texas County & District Retirement System	A	Interest	J	T					
38. TRP Small Cap. Value	A	Dividend	J	T	Buy	10/07/13	J		
39. Thompson Knight 401K (see note at VIII)	D	Dividend	P1	T					
40. -Vanguard Wellington Fund									
41. -Vanguard Institutional Fund									
42. -Stable Value Fund									
43. -Fidelity Freedom K 2025									
44. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/03/13	J		
45. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/03/13	J		
46. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/03/13	J		
47. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/03/13	J		
48. TRP Spectrum Growth (IRA)	B	Dividend	K	T	Redeemed (part)	06/03/13	J		
49. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/03/13	J		
50. TRP Summit Cash (IRA)	A	Interest	M	T	Redeemed (part)	06/03/13	J		
51. US i Savings Bond	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Haynes, Catharina D.

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52. Chase Bank Account checking (see note at Section VIII)		None	M	T					
53. PEBXCX (IRA)	A	Dividend	K	T					
54. PCRCX (IRA)	A	Dividend	K	T					
55. PCRAX (IRA)	A	Dividend	J	T					
56. Amegy Bank - CD	A	Interest	M	T					
57. Citibank Account, CD	A	Interest	N	T					
58. Capital One Bank Account	B	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

04/28/2014

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

I. Line 1: This disclosure does not seem required by the rules but is made for informational purposes.

Line 2: I am also Secretary of the Appellate Judges Conference of the Judicial Division of the American Bar Association correlative with my AJEI status.

However, this disclosure does not seem required by the rules and is listed for informational purposes.

III. and VII: I recuse from all cases in which Thompson Knight is either a party or represents a party.

VII. Line 39: My [REDACTED] makes regular payroll deduction contributions (amount J) to this regular 401K fund every paycheck (twice a month) until the maximum allowable 401K limit is reached. His firm also contributes to this fund as part of his compensation.

Line 52: This is a non-interest bearing checking account reported for informational purposes.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

04/28/2014

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/ Catharina D. Haynes**

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
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Washington, D.C. 20544