

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012**

*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) HEARTFIELD, THAD	2. Court or Organization U.S.D.C. (TEXAS EASTERN)	3. Date of Report 10/16/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT JUDGE (SENIOR)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 300 WILLOW STREET, RM. 212 BEAUMONT, TEXAS 77701		
IMPORTANT NOTES: <i>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>		

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

☒ **NONE** *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.		

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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.)*

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 AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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. Western National Life Ins. Co.	A	Interest	J	T					
2. Western National Life Ins. Co.	A	Interest	J	T					
3. Wells Fargo, Checking	A	Interest	K	T					
4. Wells Fargo, Checking	A	Interest	J	T					
5. Wells Fargo, Checking	A	Interest	K	T					
6. EnerVest Operating, LLC	A	Royalty	J	T					
7. Three Forks Resources	A	Royalty	J	T					
8. Enterprise Crude Oil LLC	A	Royalty	J	T					
9. US Saving Bonds (X)	A	Interest	J	T					
10. UBS RMA	A	Interest	M	T					
11. UBS IRA #1 Money Market	A	Interest	K	T					
12. Oppenheimer Strategic Income	D	Dividend	M	T					
13. Federated Bond Fund	D	Dividend	M	T					
14. Pimco Total Return Fund	A	Dividend	J	T					
15. Bond Fund of America	A	Dividend	J	T					
16. American Funds High Income	E	Dividend	M	T					
17. Franklin Templeton Global Benefit Fund	B	Dividend	K	T					

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		

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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. Lord Abbott Short Duration Income Fund	B	Dividend	L	T					
19. Pimco Low Duration Fund	C	Dividend	M	T					
20. Pioneer Strategic Income Fund	B	Dividend	L	T					
21. Cit Bk Salt Lk 3.25 7/8/13	A	Interest	K	T					
22. Goldman Sachs Bk 3.50 2/4/14	A	Interest	K	T					
23. Goldman Sachs Bk 3.75 2/4/16	A	Interest	K	T					
24. Merrill Lynch Note 5.00 1/15/15	B	Interest	K	T					
25. 1 Shares Barclays Tips Bond Fund	B	Interest	L	T					
26. Unts AAM Nav Dial High Income	B	Interest	K	T					
27. Doral Bank Catano PR 2.80 7/9/12	A	Interest			Redeemed	07/09/12	K		
28. Unts AAM Nav Dial High Income	A	Interest	K	T	Buy	07/13/12	K		
29. HTF American Growth Fund		None	L	T					
30. HTF American Growth & Income		None	L	T					
31. HTF American Global Growth		None	L	T					
32. HTF Franklin Mutual Shares		None	L	T					
33. Jackson National Van Annuity		None	M	T					
34. UBS IRA #2 Money Market	A	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 \$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	

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35. HTF American Growth & Income		None	K	T					
36. HTF American Growth		None	K	T					
37. HTF American Global Growth		None	K	T					
38. HTF Franklin Mutual Shares		None	K	T					
39. Houston TX Area Water 5.5% 03/01/12	B	Interest		T	Redeemed	03/01/12	K	A	
40. Texas Tech Univ. Rev. 5.0% 08/10/18	A	Interest		T	Redeemed	02/15/12	K	A	
41. Nuveen Insured Municipal Premium Income Fund2	B	Dividend	K	T					
42. Nuveen Insured Quality Municipal Fund	B	Dividend	K	T					
43. Nuveen Insured Municipal Opportunity Fund	B	Dividend	K	T					
44. Merrill Lynch Bank Deposit Program (\$ mkt)	A	Interest	K	T					
45. Weslaco TX ISD 4.5% 02/15/25	B	Interest	K	T					
46. Harlandale TX ISD 4.75% 08/15/35	C	Interest	L	T					
47. Texas State Water Finl. 5.0% 08/01/18	B	Interest	K	T					
48. Univ. North Texas Fin'g. Sys. 5.0% 04/15/24	B	Interest	K	T					
49. Texas Water Devel. Board 5.0% 07/15/21	C	Interest	M	T					
50. San Antonio TX Elec. & Gas 5.25% 02/01/14	B	Interest	K	T					
51. Virginia St. School Fin'g 3.75% 08/01/28	B	Interest	L	T	Buy	01/10/12	L		

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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
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52. Alabama St. Pub. Schools 2.5% 03/01/24	A	Interest	L	T	Buy	04/16/12	L		

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

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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/ **THAD HEARTFIELD**

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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