

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 6/25/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 300 WILLOW STREET, RM. 212 BEAUMONT, TEXAS 77701		
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.		
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 12

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

6/25/2018

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

6/25/2018

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

6/25/2018

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. American General Life Services Co LLC	A	Interest	J	T					
2. American General Life Services Co LLC	A	Interest	J	T					
3. Wells Fargo, Checking	A	Interest	M	T					
4. Wells Fargo, Checking	A	Interest	L	T					
5. Wells Fargo, Checking	A	Interest	K	T					
6. Enterprise Crude Oil LLC		None	J	T					
7. Loan	D	Interest	M	U					Craig S & Shannon Adlong
8. NGL Energy Partners LP (X)		None							
9. First River Midstream LLC (X)	A	Royalty	J	T					
10. Superior Crude Gathering Inc (X)	C	Royalty	J	T					
11. U.S. Savings Bonds (X)	D	Interest	J	T					
12. UBS RMA Money Market	A	Interest	L	T					
13. UBS RMA Money Market	A	Interest	J	T					
14. Adient PLC	A	Dividend	J	T					
15. Apple Inc	A	Dividend	J	T					
16. Applied Materials Inc	A	Dividend	J	T	Buy	05/19/17	J		
17. Caterpillar Inc.	A	Dividend	K	T	Buy	10/09/17	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

HEARTFIELD, THAD

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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)	11/08/17	J		
19. Chevron Corp	A	Dividend	J	T	Buy	08/15/17	J		
20. Chubb Ltd	A	Dividend	J	T	Buy	08/15/17	J		
21. Coca Cola Co.	A	Dividend	J	T					
22. Colgate Palmolive Co.	A	Dividend	J	T					
23. Exxon Mobil Corp	A	Dividend			Sold	08/15/17	J	A	
24. Freeport McMoran	A	Dividend			Sold	11/30/17	J	A	
25. Halliburton Co.	A	Dividend	J	T	Buy	11/30/17	J		
26. Home Depot Inc.	A	Dividend	K	T	Buy	09/27/17	J		
27. Intel Corp	A	Dividend	K	T	Buy	10/09/17	J		
28. Johnson Controls Int'l PLC	A	Dividend			Sold	07/28/17	J	A	
29. Johnson & Johnson Co.	A	Dividend	J	T					
30. McDonalds Corp.	A	Dividend	J	T	Buy	08/15/17	J		
31. Medtronic PLC	A	Dividend	J	T	Buy	10/20/17	J		
32. Microsoft Corp	A	Dividend	J	T					
33. Nextera Energy Inc.	A	Dividend	J	T					
34. Pepsico, Inc.	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

HEARTFIELD, THAD

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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 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)

35. Stanley Black & Decker, Inc.	A	Dividend	J	T					
36. Texas Instruments	A	Dividend	K	T	Buy	10/12/17	J		
37. United Parcel Service Inc.	A	Dividend			Sold	11/08/17	J	A	
38. United Technologies Corp.	A	Dividend	J	T					
39. Visa Inc. CLA	A	Dividend	J	T	Buy	09/27/17	J		
40. Enterprise Products Partner LP	A	Dividend	J	T	Buy	11/30/17	J		
41. UBS #1 Money Market	A	Interest	J	T					
42. Caterpillar Inc.	A	Dividend	K	T	Buy	01/26/17	K		
43. Cummins Inc.	A	Dividend	J	T	Buy	11/08/17	J		
44. General Motors Co.	A	Dividend			Buy	01/26/17	K		
45.					Sold	12/29/17	K	B	
46. Home Depot Inc.	A	Dividend	K	T	Buy	11/03/17	K		
47. Texas Instruments	A	Dividend	J	T	Buy	09/27/17	J		
48. WP Carey Inc.	A	Dividend	J	T					
49. Pacer Trendpilot MC ETF	A	Dividend	K	T	Buy	02/22/17	K		
50. Pacer Trendpilot LC ETF	A	Dividend	K	T	Buy	02/22/17	K		
51. Pacer Trendpilot 100 ETF	A	Dividend	K	T	Buy	02/22/17	K		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

HEARTFIELD, THAD

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52. Vanguard REIT ETF	A	Dividend	J	T	Buy	06/24/17	J		
53. Ishares TIPS Bond ETF	B	Interest	L	T					
54. Federated HY Bond Fund	B	Interest	K	T	Buy	08/10/17	K		
55. Federated Bond Fund	C	Interest			Sold	08/15/17	L	A	
56. Guggenheim Total Return Fund	B	Interest	K	T	Buy	08/10/17	J		
57. Lord Abbott Bond Debent Fund	B	Interest	L	T	Buy	08/10/17	J		
58.					Buy (add'l)	08/15/17	J		
59. Oppenheimer Global Strat Inc. Fund	B	Interest			Sold	08/15/17	L	A	
60. Performance Trust Strat Fund	B	Interest	K	T	Buy	08/10/17	J		
61.					Buy (add'l)	08/15/17	J		
62. Western Assett Core Plus Bond	B	Interest	K	T	Buy	08/10/17	J		
63.					Buy (add'l)	08/15/17	J		
64. American Funds Balanced Fund	C	Dividend	M	T					
65. Amazon.com Inc	A	Dividend	K	T	Buy	12/29/17	K		
66. Constellation Brands Inc	A	Dividend			Buy	01/04/17	K		
67.					Sold	07/17/17	K	C	
68. Merck & Co. Inc. New	A	Dividend			Sold	11/03/17	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

6/25/2018

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69. Lord Abbett Floating Rate	A	Interest			Buy	01/20/17	K		
70.					Sold	08/03/17	K	A	
71. Lord Abbett Short Duration Fund		None			Sold	01/20/17	K	A	
72. Pioneer Strategic Inc. Fund	A	Interest			Sold	08/03/17	L	A	
73. Bond Fund of America	A	Interest			Sold	08/03/17	J	A	
74. Unts AAM Dial High Income #39	A	Interest	J	T					
75. Unts AAM Dial High Income #55	A	Interest	J	T					
76. HTF Amer Growth Fund		None	M	T					
77. HTF Amer Growth & Income		None	M	T					
78. HTF Amer Global Growth		None	M	T					
79. HTF Franklin Mutual Shares		None	L	T					
80. Jackson Blackrock Nat'l Resources		None	K	T					
81. Jackson Mellon Cup JNL5		None	K	T					
82. Jackson Franklin Temp Global Growth		None	K	T					
83. Jackson FPA & DL Flex Alloc		None	K	T					
84. Jackson Oppenheimer Gbl Growth		None	K	T					
85. Jackson Inversco Fibl Real Estate		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

HEARTFIELD, THAD

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86. Jackson American Int'l		None	K	T					
87. Jackson Mellon Oil & Gas Sector		None	J	T					
88. Jackson Invesco Mid Cap Value		None	J	T					
89. Jackson JPMorgan Mid Cap Grth		None	J	T					
90. UBS #3 Money Market	A	Interest	J	T					
91. HTF Amer Growth & Income		None	K	T					
92. HTF Amer Growth		None	K	T					
93. HTF Amer Global Growth		None	K	T					
94. HTF Franklin Mutual Shares		None	K	T					
95. CSX Corp		None			Sold	06/20/17	J	A	
96. Texas State Water FINL 5% due 8/1/2018	A	Interest	K	T					
97. Alabama St. Public Schools 2.5% due 3/1/2024	B	Interest	L	T					
98. Univ of North Texas 5% due 4/15/2024	B	Interest	K	T					
99. Eaton Vance Sen Floating Rate Trust	B	Dividend	K	T					
100. Powershares ETF	B	Dividend	K	T					
101. ML Bank Deposit Program	A	Interest	N	T					
102. Nuveen Quality Muni Income Fund	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

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103. Nuveen Muni Credit Income Fund	B	Dividend	K	T					
104. Texas Water Dev. Board 5.0% due 7/15/2021	C	Interest			Redeemed	07/17/17	L	A	
105.									

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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

VII. Investments and Trusts

6. There was no 2017 income from Enterprise Crude Oil LLC

8. There is no more income to be received from NGL Energy Partners LP

10. This is the first and last income from Superior Crude Gathering Inc.

11. End of US Savings Bonds.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

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HEARTFIELD, THAD

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544