

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) Haynes, Catharina D.	2. Court or Organization Fifth Circuit	3. Date of Report 05/02/2018
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 01/01/2017 to 12/31/2017
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. Vice-Chair, then Chair | 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. | |

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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. 2017	Thompson & Knight Law Partnership Income
2. 2017	UNT Law School Adjunct Professor (Fall Semester, 2017)
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. American Bar Association Judicial Division/Appellate Judges Conf.	2/2-5/2017	Miami, FL	Board Meeting of Appellate Judges Conference, part. in Judicial Div. & related act.	partial: airfare, hotel, parking
2. American Bar Association Judicial Division Appellate Judges Conference	8/10-13/2017	New York, NY	Attending JD and AJC board and leadership-related meetings	per diem towards travel expenses and hotel
3. Emory University School of Law	10/21-22/2017	Atlanta, GA	Judge Moot Court Competition	airfare, hotel, meals, and miscellaneous travel
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.)*

	<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.			

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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. Bank of America Accounts	B	Interest	P1	T					
2. Janus Henderson Fund f/k/a Janus Money Fund	A	Interest	J	T					
3. TRP Government Money Fund	B	Interest	O	T					
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	E	Dividend	N	T					
6. TRP New America Growth	E	Dividend	N	T					
7. TRP Health Science Fund	F	Dividend	P1	T					
8. TRP Tax Efficient Equity	E	Dividend	O	T					
9. TRP Tax Free Income	E	Dividend	P1	T	Buy	10/30/17	J		
10. TRP Tax Free Short Intermediate	A	Dividend	K	T					
11. IBM	B	Dividend	L	T					
12. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
13. Franklin Mutual Shares Class Z	F	Dividend	O	T					
14. Janus Henderson Research Fund D Shares f/k/a Janus Fund	E	Dividend	O	T					
15. TRP Capital Appreciation	D	Dividend	M	T					
16. TRP Equity Income Fund	E	Dividend	N	T	Redeemed (part)	06/01/17	J		
17. Vanguard REIT Fund	E	Dividend	O	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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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)

18. Vanguard 500 Index Fund	E	Dividend	O	T					
19. Vanguard TM Small Cap	D	Dividend	O	T					
20. US EE Savings Bond	C	Dividend	L	T					
21. TRP Retirement 2020 (IRA)	C	Dividend	L	T					
22. TRP Retirement 2030 (IRA)	E	Dividend	O	T					
23. Thompson Knight Partnership Equity		None	M	U					
24. TX Emp. Ret. Plan (H)									
25. -Vanguard Institutional Fund,	A	Dividend	K	T					
26. -Vanguard Growth Fund	B	Dividend	M	T					
27. -Black Rock Bond Fund		None	L	T					
28. State of Tx. Judicial Retirement Equity	B	Interest	L	T					
29. Texas County & District Retirement System	A	Interest	J	T					
30. TRP Small Cap. Value	B	Dividend	K	T					
31. Thompson Knight 401K (H)(see note at VIII)									
32. -Vanguard Wellington Fund	D	Dividend	M	T					
33. -Vanguard Institutional Fund	E	Dividend	P1	T					
34. -Stable Value Fund		None	O	T					

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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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35. -Vanguard Target Retirement 2025	C	Dividend	M	T					
36. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/17	J		
37. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/17	J		
38. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/17	J		
39. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/17	J		
40. TRP Spectrum Growth (IRA)	C	Dividend	K	T	Redeemed (part)	06/01/17	J		
41. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/17	J		
42. US i Savings Bond	A	Interest	J	T					
43. Chase Bank Account checking (see note at Section VIII)		None	N	T					
44. PEBCX (IRA)	A	Dividend			Closed	04/11/17	K		
45. PCRCX (IRA) (see note at VIII)		None			Closed	04/11/17	J		
46. PCRAX (IRA)	A	Dividend	K	T	Spinoff (from line 45)	04/11/17	J		
47. Amegy Bank - CD	A	Interest			Closed	03/10/17	M		
48. BB&T Account	A	Interest	L	T					
49. Capital One Bank Account	B	Interest	O	T					
50. TRP US Treasury Money (IRA)	A	Interest	M	T	Redeemed (part)	06/01/17	J		
51. Vanguard Inf. Protec. Securities	C	Dividend	M	T					

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52. BB&T CD	A	Interest			Closed	10/12/17	M		
53. PAEMX (IRA)	A	Dividend	K	T	Spinoff (from line 44)	04/11/17	K		
54. Oil & Gas Min. Reeves Cty, TX interest in 1/3 acre (see note at VIII)		None	J	W					

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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 was Vice Chair until my elevation to Chair in August of 2017. I also served as Chair of the Appellate Judges Conference of the Judicial Division of the American Bar Association before becoming Immediate Past Chair in August of 2017, 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. Lines 2 and 14: The names of these accounts changed during 2017, but were still managed by the same entity, Janus.

Lines 27, 34, and 45: No dividend or distribution was declared or paid in 2017.

Lines 31-35: My spouse 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 43: This is a non-interest bearing checking account reported for informational purposes.

Line 54: My husband was recently advised of a joint, shared mineral interest inherited through family which, until recently, produced no income but which, in 2018, is being leased to Centennial Resource Production, LLC of Denver. He received lease bonus income in 2018 which will be reported on the 2018 FDR.

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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/ 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
Suite 2-301
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Washington, D.C. 20544