

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Heaton, Joe L.                                                                                                                       | <b>2. Court or Organization</b><br><br>District Court - Western District of Oklahoma                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>04/22/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge                                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>200 NW 4th Street, Room 3108<br>Oklahoma City, OK 73102                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☐ NONE (No reportable positions.)

|    | <u>POSITION</u>       | <u>NAME OF ORGANIZATION/ENTITY</u> |
|----|-----------------------|------------------------------------|
| 1. | Secretary - Treasurer |                                    |
| 2. | Co-Trustee            | Trust #1                           |
| 3. | Co-Trustee            | Trust #2                           |
| 4. |                       |                                    |
| 5. |                       |                                    |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                |
|-------------|-------------------------------------------------------------------------|
| 1. N/A      | Oklahoma Public Employees Retirement System - receiving monthly benefit |
| 2.          |                                                                         |
| 3.          |                                                                         |

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Name of Person Reporting

Heaton, Joe L.

Date of Report

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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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Name of Person Reporting

Heaton, Joe L.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Duke Energy common stock                                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Spectra Energy common stock                                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Xcel Energy common stock                                                                                                 | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Oil & gas working interest                                                                                               | C                                       | Royalty                                       | J                                               | V                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Smith Barney money fund                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Investment Company of America                                                                                            | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Europacific Growth Fund                                                                                                  | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Bank of Oklahoma accounts                                                                                                |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. ■ East Mosier Ltd Partnership Ltd. part.<br>interest                                                                     | E                                       | Dividend                                      | M                                               | U                                         | Distributed                                     | 12/16/13                | K                               |                                | DDB revocable trust                                               |
| 10. Masterpiece Properties LP - Ltd. part. interest                                                                         | A                                       | Rent                                          | L                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Meadowood II LP Ltd. part. int. real est. dev.<br>Cleveland, OK                                                         | A                                       | Rent                                          | K                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Hollywood Shopping Center LLC, Norman,<br>OK                                                                            | D                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. West Oaks Rentals, gen. part. Norman, OK<br>office bldg.                                                                | B                                       | Rent                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Norman Construction & Paving common<br>stock                                                                            |                                         | None                                          | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. DDB Limited Partnership, Ltd. part. interest                                                                            | D                                       | Rent                                          | O                                               | U                                         | Distributed                                     | 12/16/13                | N                               |                                | DDB revocable trust                                               |
| 16. Growth Fund America                                                                                                     | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. ING - USA Life Ins. Co. (formally Equitable<br>of Iowa)                                                                 | A                                       | Dividend                                      | J                                               | U                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Heaton, Joe L.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                     |   |          |   |   |             |          |   |  |                     |
|-----------------------------------------------------|---|----------|---|---|-------------|----------|---|--|---------------------|
| 18. Int.Growth & Income Fund                        | A | Dividend | K | T |             |          |   |  |                     |
| 19. Small Cap World Fund                            | A | Dividend | K | T |             |          |   |  |                     |
| 20. Mineral interest - Harper Co., Okla. (x)        | A | Royalty  | J | V |             |          |   |  |                     |
| 21. DDB revocable trust (x) - income beneficiary    | E | Dividend |   |   |             |          |   |  |                     |
| 22. Executive Producers LP, ltd. part. int.         | A | Rent     | N | U | Distributed | 12/16/13 | N |  | DDB revocable trust |
| 23. Individual Retirement Account #1                | E | Dividend | N | T |             |          |   |  |                     |
| 24. - Amcap Fund                                    |   |          |   |   |             |          |   |  |                     |
| 25. - Investment Company of America                 |   |          |   |   |             |          |   |  |                     |
| 26. - Smith Barney Money Funds - case portfolio - A |   |          |   |   |             |          |   |  |                     |
| 27. - Growth Fund of America Account                |   |          |   |   |             |          |   |  |                     |
| 28. - EuroPacific Growth Fund                       |   |          |   |   |             |          |   |  |                     |
| 29. International Growth and Income Fund            |   |          |   |   |             |          |   |  |                     |
| 30. Individual Retirement Account #2                | E | Dividend | N | T |             |          |   |  |                     |
| 31. - Amcap Fund                                    |   |          |   |   |             |          |   |  |                     |
| 32. - Investment Company of America                 |   |          |   |   |             |          |   |  |                     |
| 33. - Smith Barney Money Funds - case portfolio - A |   |          |   |   |             |          |   |  |                     |
| 34. - Growth Fund of America                        |   |          |   |   |             |          |   |  |                     |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                        |  |  |  |  |  |  |  |  |  |
|----------------------------------------|--|--|--|--|--|--|--|--|--|
| 35. - EuroPacific Growth Fund          |  |  |  |  |  |  |  |  |  |
| 36. International Growth & Income Fund |  |  |  |  |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

1. The value of the oil and gas working interest identified in Part VII, line 4, is based on average monthly income during the period x36 months. The wells are located in Oklahoma (Folmar) and McClain (Lewis 1-11 and Mooney) Counties, Oklahoma. The Harper County mineral interest is valued the same way.
2. The limited partnership interests identified in Part VII, lines 10, 11, 12, 15, and 22 also had interest or dividend income in addition to rental income (per K-1). The properties generating rental income are in Cleveland County, OK.
3. Entries for [REDACTED] Account #2 (entries 37-44, 2012 report) have been deleted, [REDACTED] relationship is over. Beneficiary is no longer a [REDACTED] or a [REDACTED].
4. The DDB revocable trust (entry 21) was fully distributed during the year, resulting in distributions of limited partnership interests in Executive Producers LP and of additional interests in [REDACTED] E. Mosier LP and DDB LP.
5. Trust 1 and Trust 2 referenced in Part I (positions) are revocable trusts created by filer [REDACTED] during the year, with filer [REDACTED] being co-trustees and beneficiaries of each trust. Assets owned are fully reflected in entries 1-20 and have not changed from prior reports except as indicated (value changes, etc.).

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Name of Person Reporting

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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/ Joe L. Heaton**

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