

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Hale, Harlin D.	2. Court or Organization Bankruptcy Court - NDTX	3. Date of Report 05/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Bankruptcy Court 1100 Commerce Street - #1254 Dallas, Texas 75242-1496		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Advisors	George W. & Jean H. Pugh Institute
2. Visiting Judicial Faculty	Southern Methodist University Dedman School of Law
3.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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. 2016	Southern Methodist University Dedman School of Law (teaching)	\$22,500.00
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. 2016	Dallas Independent School District
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. Texas State Bar Bankruptcy Section	02/20 - 02/21/2016	Austin, TX	Judge Moot Court Competition	Transportation, food, lodging
2. Center for American and International Law	02/24 - 02/26/2016	New Orleans, LA	Speaker at Bankruptcy Conference	Transportation, food, lodging
3. American College of Bankruptcy	04/01 - 04/02/2016	Austin, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
4. Texas State Bar Bankruptcy Section	06/23 - 06/24/2016	Austin, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
5. University of Texas at Austin CLE Program	07/13 - 07/15/2016	Galveston, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

6.	Texas State Bar Bankruptcy Section	09/08 - 09/09/2016	Austin, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
7.	Louisiana State University	10/06 - 10/07/2016	Baton Rouge, LA	Speaker at Bankruptcy Conference	Transportation, food, lodging
8.	Texas State Bar Bankruptcy Section	10/21/2016	McAllen, TX	Speaker at Bankruptcy Conference	Transportation, food

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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 5 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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. Cross Keys Bank	A	Interest	J	T					
2. BSI Bancshares, Inc. Stock	D	Dividend	L	T					
3. Blue Cross FCU account	A	Interest	K	T					
4. Belt West Ltd. Partnership		None	J	U					
5. Edward Jones IRA (H)									
6. - Home & Hearth Ltd. P'Ship		None	J	W					
7. - Miller Co. Ltd. P'Ship		None	J	W					
8. - CAPITAL INCOME BUILDER FUND A	A	Int./Div.	J	T					
9. - FUNDAMENTAL INVESTORS FUND A	A	Int./Div.	K	T					
10. - GROWTH FUND OF AMERICA CL A	A	Int./Div.	J	T					
11. - INCOME FUND OF AMERICA FUND A	A	Int./Div.	K	T					
12. - NEW ECONOMY FUND CL A	A	Int./Div.	J	T					
13. - NEW PERSPECTIVE FUND CL A	A	Int./Div.	J	T					
14. - WASHINGTON MUTUAL INVS FD CL A	A	Int./Div.	J	T					
15. Bank of America	A	Interest	J	T					
16. Wells Fargo	A	Interest	L	T					
17.									

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 6 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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)

18. EQUITABLE IRA (H)									
19. - EQ/Core Bond Index	B	Int./Div.	L	T					
20. - EQ/Marsico Focus	A	Int./Div.	K	T					
21. - EQ/BlackRock Intl Val	A	Int./Div.	K	T					
22. - EQ/PIMCO Real Return	A	Int./Div.	K	T					
23. - EQ/Van Kampen Comstock	A	Int./Div.	K	T					
24. - EQ/Evergreen Intl Bond	A	Int./Div.	K	T					
25. - EQ/Davis NY Venture	A	Int./Div.	K	T					
26. - EQ/Franklin Income	A	Int./Div.	K	T					
27. EDWARD JONES Brokerage Account (H)									
28. - Edward Jones Cap World Growth & Income Fund CLA	A	Dividend	K	T					
29. - Edward Jones Tax Exempt Bond Fund Amer CLA	B	Dividend	K	T					
30. - Exxon Mobil	C	Dividend	L	T					
31. Texas Federal Credit Union	A	Interest	J	T					
32. Investment Property - Carrollton, TX	B	Interest	M	R					

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 7 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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

The investment property listed on line 32 of part VII is a condominium in Carrollton, Texas that [REDACTED] purchased for \$116,000 on April 1, 2015. [REDACTED] brother owes [REDACTED] for the portion of the purchase price that [REDACTED] paid, and he paid [REDACTED] interest on this obligation in 2016. The interest was reported on our federal income tax return as income.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

05/12/2017

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/ **Harlin D. Hale**

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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