

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) HEARTFIELD, THAD	2. Court or Organization U.S.D.C. - TEXAS EASTERN	3. Date of Report 10/12/2017
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 01/01/2016 to 12/31/2016
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.	

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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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Name of Person Reporting
HEARTFIELD, THADDate of Report
10/12/2017**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.		

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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. 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	E	Interest	M	U					Craig S & Shannon Adlong
8. NGL Energy Partners LP (X)	A	Royalty	J	T					
9. First River Midstream LLC (X)	B	Royalty	J	T					
10. UBS RMA Money Market	A	Interest	M	T					
11. UBS RMA Money Market	A	Interest	J	T					
12. Adient PLC	A	Dividend	J	T	Spinoff (from line 19)	10/31/16	J		
13. Apple Inc	A	Dividend	J	T	Buy	11/11/16	J		
14. Boeing Co	A	Dividend			Sold	09/13/16	J	A	
15. California Resources	A	Dividend			Sold	10/04/16	J	A	
16. Coca Cola Co	A	Dividend	J	T					
17. Colgate Palmolive Co	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 \$5,000,000	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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18. CSX Corp	A	Dividend	J	T					
19. Johnson Controls Inc	A	Dividend			Sold	09/06/16	J	A	
20. Exxon Mobil Corp	A	Dividend	J	T					
21. Freeport McMoran Inc	A	Dividend	J	T	Buy	11/09/16	J		
22. Home Depot Inc	A	Dividend	J	T					
23. Illinois Tool Works Inc	A	Dividend			Sold	01/19/16	J	A	
24. Intel Corp	A	Dividend	J	T					
25. Johnson Controls Int'l PLC	A	Dividend	J	T	Buy	09/06/16	J		
26. Johnson & Johnson Co	A	Dividend	J	T					
27. Mobileye NV		None			Buy	05/25/16	J		
28. Medtronic Inc	A	Dividend	J	T					
29. Microsoft Corp	A	Dividend	J	T					
30. Nextera Energy Inc.	A	Dividend	J	T					
31. Nordstrom Inc.	A	Dividend			Sold	05/25/16	J	A	
32. Occidental Petroleum		None			Sold	01/19/16	J	A	
33. Pepsico Inc.	A	Dividend	J	T					
34. Southwest Airlines	A	Dividend			Sold	10/04/16	J	A	

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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. Stanley Black & Decker Inc	A	Dividend	J	T					
36. Texas Instruments	A	Dividend	J	T					
37. Union Pacific Corp	A	Dividend			Sold	06/20/16	J	A	
38. United Parcel Service Inc	A	Dividend	J	T					
39. United Technologies Corp	A	Dividend	J	T					
40. VF Corp	A	Dividend			Sold	05/25/16	J	A	
41. Mobileye NV		None			Sold	07/26/16	J	A	
42. UBS #1 Money Market	A	Interest	M	T					
43. Merck & Co Inc. New	A	Dividend	J	T	Buy	06/20/16	J		
44. WPCarey Inc REIT	A	Dividend	J	T	Buy	06/24/16	J		
45. Vanguard REIT ETF	A	Dividend	J	T	Buy	06/24/16	J		
46. Ishares TIPS Bond ETF	B	Interest	L	T					
47. Oppenheimer Strategic Inc	C	Dividend	K	T					
48. Federated Bond Fund	C	Dividend	M	T					
49. American Fund Balanced Fund	C	Dividend	M	T	Buy	01/19/16	M		
50. American Funds High Income	A	Dividend			Sold	01/19/16	M	A	
51. Franklin Templeton Global Bond	A	Dividend			Sold	09/13/16	K	A	

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52. Lord Abbett Short Duration Fund	B	Dividend	K	T					
53. Pimco Low Duration Fund	A	Dividend			Sold	04/08/16	M		
54. Pioneer Strategic Income	B	Dividend	K	T					
55. Goldman Sachs BK 3.75 2/4/16	A	Interest			Redeemed	02/04/16	K	A	
56. Unts AAM Dial High Income #39	A	Interest	J	T					
57. Unts AAM Dial High Income #55	B	Interest	K	T					
58. Bristol Myers Squibb Co	A	Dividend			Buy	06/24/16	J		
59. Bristol Myers Squibb Co		None			Sold	10/10/16	J	A	
60. Broadcom Ltd		None			Buy	09/13/16	K		
61. Bond Fund of America	A	Dividend	J	T					
62. Broadcom Ltd		None			Sold	11/01/16	K	A	
63. Ingredion Inc		None			Buy	08/03/16	J		
64. Ingredion Inc		None			Sold	11/01/16	J	A	
65. NVIDIA Corp		None			Buy	08/03/16	J		
66. NVIDIA Corp		None			Sold	11/01/16	J	B	
67. United States Steel Corp		None			Buy	09/22/16	J		
68. United States Steel Corp		None			Sold	11/01/16	J	A	

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69. HTF Amer Grth Fund		None	L	T					
70. HTF Amer Growth & Income		None	L	T					
71. HTF Amer Global Growth		None	L	T					
72. HTF Franklin Mutual Shares		None	L	T					
73. Jackson Blackrock Natl Resources		None	K	T					
74. Jackson Mellon Cap JNL 5		None	K	T					
75. Jackson Franklin Temp Global Grth		None	K	T					
76. Jackson FPA & DL Flex Alloc		None	K	T					
77. Jackson Oppenheimer Gbl Grth		None	K	T					
78. Jackson Invesco Gbl Real Estate		None	K	T					
79. Jackson American Intl		None	K	T					
80. Jackson Mellon Oil & Gas Sector		None	J	T					
81. Jackson Invesco Mid Cap Value		None	J	T					
82. Jackson Multi Mgr Small Cap Grth		None	J	T					
83. UBS #3 Money Market	A	Interest	J	T					
84. HTF Amer Growth & Income		None	K	T					
85. HTF Amer Growth		None	K	T					

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86. HTF Amer Global Growth		None	K	T					
87. HTF Franklin Mutual Shares		None	K	T					
88. Weslaco TX ISD 4.5% due 2/15/2025	A	Interest			Redeemed	02/16/16	K	A	
89. Texas State Water Finl 5.0% due 8/1/18	B	Interest	K	T					
90. ML Bank Deposit Program	A	Interest	K	T					
91. Powershares ETF	B	Dividend	K	T					
92. Eaton Vance Floating Rate Trust	B	Dividend	K	T					
93. Harlandale TX ISD PRF 4.75% due 8/15/36	B	Interest			Redeemed	08/15/16	K	A	
94. Harlandale TX ISD RPF unrefunded 4.75% due 8/15/36	B	Interest			Redeemed	08/15/16	K	A	
95. Alabama State Public Schools 2.5% due 3/1/24	B	Interest	L	T					
96. Texas Water Developmt Board 5.0% due 7/15/21	C	Interest	M	T					
97. Univ of North Texas Revenue 5.0% due 4/15/24	B	Interest	K	T					
98. Nuveen Ins Qual Muni	A	Dividend	K	T		04/12/16	K	A	
99. Nuveen Ins Tax Free Advantage Muni Fund	B	Dividend	K	T		04/12/16	K		
100. Nuveen Ins Muni Opportunity	A	Dividend	K	T					
101. Halcon Resources Operating Co. (Y)									
102. Three Forks Resources (Y)									

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

VII. Investments and Trusts

Line 89 was exchanged into Line 90 with no financial implication, ie., there was no gain on this exchange.

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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