

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/07/2016
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 01/01/2015 to 12/31/2015
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. Board Member | 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	Thompson & Knight Law Partnership Income
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. American Bar Association Judicial Division/Appellate Judges Conf.	Feb. 4-6, 2015	Houston, TX	Board meeting of Appellate Judges Conference and related activities	mileage, hotel, parking and meal
2. American Bar Association Judicial Division/Appellate Judges Conf.	April 30-May 2, 2015	Philadelphia, PA	Judicial Division Spring Leadership Meeting	airfare, cabs, hotel and meals
3. Appellate Judges Education Institute	June 21-22, 2015	Indianapolis, IN	Site visit and related meetings	airfare, hotel
4. American Bar Association Judicial Division/Appellate Judges Conf.	July 30-Aug. 2, 2015	Chicago, IL	Board Meeting of Appellate Judges Conference and related activities	per diem for meals and hotel

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5.	Appellate Judges Education Institute	Aug. 11-13, 2015	Durham, NC	Site visit and related meetings	airfare, hotel, cab
6.	Emory University School of Law	Oct. 10-11, 2015	Atlanta, GA	judging CRAL moot court competition	airfare, hotel

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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 Money Fund (see note at VIII)		None	J	T					
3. T. Rowe Price (TRP) Prime Reserve Fund	A	Interest	O	T					
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	C	Dividend	M	T	Buy	03/17/15	J		
6. TRP New America Growth	E	Dividend	M	T					
7. TRP Health Science Fund	F	Dividend	O	T	Buy	03/17/15	J		
8.					Buy (add'l)	08/25/15	J		
9. TRP Tax Efficient Equity	B	Dividend	N	T	Buy	08/25/15	J		
10. TRP Tax Free Income	E	Dividend	P1	T	Buy	01/20/15	J		
11. TRP Tax Free Short Intermediate	A	Dividend	K	T					
12. IBM	B	Dividend	L	T					
13. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
14. Franklin Mutual Shares Class Z	F	Dividend	O	T	Buy	08/20/15	K		
15. Janus Fund	F	Dividend	N	T					
16. TRP Capital Appreciation	D	Dividend	L	T	Buy	03/17/15	J		
17. TRP Equity Income Fund	D	Dividend	M	T	Redeemed (part)	06/01/15	J		

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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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. Vanguard REIT Fund	E	Dividend	O	T	Buy	03/16/15	J		
19.					Buy (add'l)	08/17/15	J		
20. Vanguard 500 Index Fund	D	Dividend	O	T	Buy	03/16/15	J		
21.					Buy (add'l)	08/17/15	K		
22. Vanguard TM Small Cap	C	Dividend	N	T	Buy	03/16/15	J		
23.					Buy (add'l)	08/17/15	J		
24. US EE Savings Bond	C	Dividend	L	T					
25. TRP Retirement 2020 (IRA)	B	Dividend	K	T					
26. TRP Retirement 2030 (IRA)	E	Dividend	N	T					
27. Thompson Knight Partnership Equity		None	M	U					
28. TX Emp. Ret. Plan (H)(see note at VIII)									
29. -Vanguard Institutional Fund,	A	Dividend	J	T					
30. -Vanguard Growth Fund	B	Dividend	L	T					
31. -Black Rock Bond Fund		None	L	T					
32. State of Tx. Judicial Retirement Equity	B	Interest	L	T					
33. Texas County & District Retirement System	A	Interest	J	T					
34. TRP Small Cap. Value	C	Dividend	K	T	Buy	03/17/15	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Thompson Knight 401K (see note at VIII) (H)									
36. -Vanguard Wellington Fund	D	Dividend	M	T					
37. -Vanguard Institutional Fund	E	Dividend	O	T					
38. -Stable Value Fund		None	O	T					
39. -Vanguard Target Retirement 2025	C	Dividend	L	T					
40. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/15	J		
41. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/15	J		
42. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/15	J		
43. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/15	J		
44. TRP Spectrum Growth (IRA)	C	Dividend	K	T	Redeemed (part)	06/01/15	J		
45. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/15	J		
46. TRP Summit Cash (IRA)	A	Interest	M	T	Redeemed (part)	06/01/15	J		
47. US i Savings Bond	A	Interest	J	T					
48. Chase Bank Account checking (see note at Section VIII)		None	M	T					
49. PEBCX (IRA)	A	Dividend	K	T					
50. PCRCX (IRA) (see note at VIII)	A	Dividend	J	T					
51. PCRAX (IRA) (see note at VIII)	A	Dividend	J	T					

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52. Amegy Bank - CD	A	Interest	M	T					
53. Citibank Account, CD see note at VIII	A	Interest			Closed	03/20/15	N		
54. BB&T Account, CD (transfer from Citibank)	A	Interest	N	T	Spinoff (from line 53)	03/20/15	N		
55. Capital One Bank Account	A	Interest	M	T					
56. Vanguard Inf. Protec. Securities	A	Dividend	M	T					

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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 am also Chair-Elect of the Appellate Judges Conference of the Judicial Division of the American Bar Association 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, 31 and 38: No dividend or distribution was declared or paid in 2015.

Lines 28-31, 35-39: Provided additional detail on accounts.

Lines 35-39: 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 47: This is a non-interest bearing checking account reported for informational purposes.

Lines 53 & 54: Citibank sold its Texas account business to BB&T, so accounts were transferred on this date as part of that transaction. Thus, there was no "gain" or "loss" from the standpoint of the accounts, simply a change in ownership of the bank holding the accounts.

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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
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Washington, D.C. 20544