

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/13/2019
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 01/01/2018 to 12/31/2018
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.	

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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. 2018	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. 2018	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. Center for American and International Law	02/21 - 02/23/2018	New Orleans, LA	Speaker at Bankruptcy Conference	Transportation, food, lodging
2. University of Texas at Austin	07/25 - 07/27/2018	Houston, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
3. National Conference of Bankruptcy Judges	10/27 - 10/31/2018	San Antonio, TX	Attend Committee Meeting at Bankruptcy Conference	Transportation, food, lodging
4. Louisiana State University	11/07 - 11/09/2018	Baton Rouge, LA	Speaker at Bankruptcy Conference	Transportation, food, lodging
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. Cross Keys Bank	A	Interest	J	T					
2. BSI Bancshares, Inc. Stock	C	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 Fund CL A	A	Int./Div.	J	T					
15. - BridgeBuilder Large Growth	A	Int./Div.	M	T	Buy	04/04/18	M		
16. - iShares S&P Small-Cap 600 Value ETF	A	Int./Div.	J	T	Buy	04/04/18	J		
17. - Vanguard Value ETF	A	Int./Div.	K	T	Buy	04/04/18	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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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☐ 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. - Hartford World Bond Fund	A	Int./Div.	J	T	Buy	04/04/18	J		
19. - MainStay Mackay High Yield Corp R6	A	Int./Div.	K	T	Buy	04/04/18	K		
20. - JPM U.S. Govt. Money Market Capital	A	Int./Div.	J	T	Buy	04/04/18	J		
21. Bank of America	A	Interest	J	T					
22. Wells Fargo	A	Interest	L	T					
23.									
24. EQUITABLE IRA (H)									
25. - EQ/Core Bond Index	B	Int./Div.			Sold	04/04/18	L	B	
26. - EQ/Marsico Focus	A	Int./Div.			Sold	04/04/18	K	B	
27. - EQ/BlackRock Intl Val	A	Int./Div.			Sold	04/04/18	K	B	
28. - EQ/PIMCO Real Return	A	Int./Div.			Sold	04/04/18	K	B	
29. - EQ/Van Kampen Comstock	A	Int./Div.			Sold	04/04/18	K	B	
30. - EQ/Evergreen Intl Bond	A	Int./Div.			Sold	04/04/18	K	B	
31. - EQ/Davis NY Venture	A	Int./Div.			Sold	04/04/18	K	B	
32. - EQ/Franklin Income	A	Int./Div.			Sold	04/04/18	K	B	
33. EDWARD JONES Brokerage Account (H)									
34. - Edward Jones Cap World Growth & Income Fund CLA	B	Dividend	K	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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35. - Edward Jones Tax Exempt Bond Fund Amer CLA	B	Dividend	K	T					
36. - Exxon Mobil	C	Dividend	L	T					
37. Texas Federal Credit Union	A	Interest	J	T					
38. Investment Property - Carrollton, TX	B	Interest	M	R					
39. Edward Jones Savings	A	Interest	J	T					
40. House - St. Joseph, LA - Assessed Value of \$36,000 (X)		None	K	S					
41. Beneficiary IRA - CrossKeys Bank (X)	A	Interest	K	T					

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

The investment property listed on line 38 of part VII is a condominium in Carrollton, Texas that [REDACTED] purchased for \$116,000 on April 1, 2015. [REDACTED] owes [REDACTED] for the portion of the purchase price that [REDACTED] paid, and [REDACTED] paid [REDACTED] interest on this obligation in 2018. The interest was reported on our federal income tax return as income.

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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/ **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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