

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) HEARTFIELD, THAD	2. Court or Organization U.S.D.C. - TEXAS EASTERN	3. Date of Report 7/09/2019
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 01/01/2018 to 12/31/2018
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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7/09/2019**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	J	T					
5. Wells Fargo, Checking	A	Interest	K	T					
6. Dorado Oil Co., Corpus Christi, TX	A	Royalty	J	T					
7. Loan	D	Interest	M	U					Craig S & Shannon Adlong
8. UBS RMA Money Market	A	Interest	M	T					
9. UBS RMA Money Market	A	Interest	K	T					
10. Adient PLC	A	Dividend			Sold	03/15/18	J	A	
11. Apple Inc	A	Dividend			Sold	12/20/18	J	C	
12. Applied Materials Inc	A	Dividend			Sold	06/27/18	J	A	
13. Caterpillar Inc.	A	Dividend			Sold	06/05/18	J	B	
14. Chevron Corp	A	Dividend			Sold	06/22/18	J	A	
15. Chubb Ltd	A	Dividend			Sold	01/18/18	J	A	
16. Coca Cola Co.	A	Dividend			Sold	03/15/18	J	A	
17. Colgate Palmolive Co.	A	Dividend			Sold	03/12/18	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. Halliburton Co.	A	Dividend			Sold	06/22/18	J	B	
19. Home Depot Inc.	A	Dividend			Sold	10/11/18	K	C	
20. Intel Corp	A	Dividend			Sold	07/27/18	K	D	
21. Johnson & Johnson Co.	A	Dividend			Sold	05/29/18	J	B	
22. McDonalds Corp.	A	Dividend			Sold	06/05/18	J	A	
23. Medtronic PLC	A	Dividend			Sold	03/15/18	J	A	
24. Microsoft Corp	A	Dividend			Sold	12/21/18	J	D	
25. Nextera Energy Inc.	A	Dividend			Sold	12/24/18	J	C	
26. Pepsico, Inc.	A	Dividend			Sold	01/18/18	J	A	
27. Stanley Black & Decker, Inc.	A	Dividend			Sold	06/05/18	J	C	
28. Texas Instruments	A	Dividend			Sold	04/05/18	K	D	
29. United Technologies Corp.	A	Dividend			Buy	10/26/18	J		
30. United Technologies Corp.	A	Dividend			Sold	12/20/18	J	A	
31. Visa Inc. CLA	A	Dividend			Sold	09/27/18	J	B	
32. Enterprise Products Partner LP	A	Dividend			Sold	12/24/18	J	A	
33. JP Morgan Chase & Co.	A	Dividend			Buy	01/18/18	J		
34. JP Morgan Chase & Co.	A	Dividend			Buy	01/19/18	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 \$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.					Sold	06/22/18	J	A	
36. Honeywell Int'l Inc.	A	Dividend			Buy	01/24/18	J		
37.					Sold	06/28/18	J	A	
38. SPDR S&P Regional Banking ETF	A	Dividend			Buy	01/24/18	J		
39.					Sold	10/12/18	J	A	
40. Praxair Inc.	A	Dividend			Buy	01/31/18	J		
41.					Sold	12/24/18	J	A	
42. Netflix, Inc.		None			Buy	02/09/18	J		
43. Netflix, Inc.		None			Buy	06/27/18	J		
44.					Sold	07/31/18	K	C	
45. Salesforce.com Inc.		None			Buy	03/12/18	J		
46.					Sold	12/20/18	J	A	
47. Adient PLC	A	Dividend			Sold	3/15/18	J	A	
48. Pacer Trendpilot 100 ETF	A	Dividend	J	T	Buy	05/10/18	J		
49. Pacer Trendpilot US LC ETF	A	Dividend	J	T	Buy	05/10/18	J		
50. Pacer Trendpilot US MidCap ETF	A	Dividend	J	T	Buy	05/10/18	J		
51. Raytheon Co New	A	Dividend			Buy	05/29/18	J		

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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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52.					Sold	10/11/18	J	A	
53. Eastman Chemical Co	A	Dividend			Buy	06/05/18	J		
54.					Sold	10/05/18	J	A	
55. EOG Resources Inc.	A	Dividend			Buy	06/05/18	J		
56.					Sold	12/20/18	J	A	
57. Amazon.com Inc.		None			Buy	06/27/18	K		
58.					Sold	10/11/18	K	A	
59. Amazon.com Inc.		None			Buy	10/11/18	K		
60. Amazon.com Inc.		None			Buy	10/26/18	K		
61.					Sold	12/20/18	K	A	
62. Nike Inc. CIB	A	Dividend			Buy	06/05/18	J		
63.					Sold	09/04/18	J	A	
64. Suntrust Banks Inc.	A	Dividend			Buy	06/22/18	J		
65.					Sold	10/02/18	J	A	
66. Home Depot	A	Dividend			Buy	10/12/18	K		
67.					Sold	12/21/18	K	A	
68. UBS #1 Money Market	A	Interest	M	T					

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69. Caterpillar Inc.	A	Dividend			Sold	06/22/18	K	D	
70. Cummins Inc.	A	Dividend			Sold	03/12/18	J	A	
71. Home Depot Inc.	A	Dividend			Sold	10/11/18	K	A	
72. Texas Instruments	A	Dividend			Sold	04/09/18	J	B	
73. WP Carey Inc.	A	Dividend			Sold	03/12/18	J	A	
74. Pacer Trendpilot MC ETF	A	Dividend	K	T					
75. Pacer Trendpilot LC ETF	A	Dividend	K	T					
76. Pacer Trendpilot 100 ETF	A	Dividend	K	T					
77. Vanguard REIT ETF	A	Dividend			Sold	03/12/18	J	A	
78. iShares TIPS Bond ETF	B	Interest	L	T					
79. Federated Bond Fund	B	Interest	L	T					
80. Guggenheim Total Return Fund	A	Interest	L	T					
81. Lord Abbott Bond Debent Fund	C	Interest	L	T					
82. Performance Trust Strat Fund	C	Interest	L	T					
83. Western Assett Core Plus Bond	B	Interest	L	T					
84. American Funds Balanced Fund	D	Dividend	M	T					
85. Amazon.com Inc		None			Sold	10/11/18	K	D	

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86.					Buy	10/11/18	K		
87.					Sold	12/20/18	K	A	
88. Accenture PLC Ireland	A	Dividend			Buy	03/12/18	J		
89.					Sold	12/20/18	J	A	
90. Alphabet Inc. CLA		None			Buy	03/12/18	J		
91.					Sold	12/21/18	J	A	
92. Home Depot	A	Dividend			Buy	10/12/18	K		
93.					Sold	12/21/18	K	A	
94. Kraft Heinz Co		None			Buy	10/12/18	J		
95.					Sold	11/02/18	J	A	
96. Lord Abbett Floating Rate	A	Interest	K	T	Buy	05/29/18	K		
97. American Funds Balanced	D	Dividend	M	T					
98. Federated HY Bond Fund	A	Interest			Sold	05/29/18	K	A	
99. Unts AAA Dial High Income #39	A	Interest			Redeemed	01/05/18	J	A	
100. Unts AAA Dial High Income #55	A	Interest			Redeemed	06/14/18	J	A	
101. HTF Amer Growth Fund		None	M	T					
102. HTF Amer Growth & Income		None	L	T					

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103. HTF Amer Global Growth		None	L	T					
104. HTF Franklin Mutual Shares		None	L	T					
105. Jackson Blackrock Nat'l Resources		None	K	T					
106. Jackson Mellon Cup JNL5		None	K	T					
107. Jackson Franklin Temp Global Growth		None	K	T					
108. Jackson FPA & DL Flex Alloc		None	K	T					
109. Jackson Oppenheimer Gbl Growth		None	K	T					
110. Jackson Invesco Gbl Real Estate		None	K	T					
111. Jackson American Int'l		None	K	T					
112. Jackson Mellon Oil & Gas Sector		None	J	T					
113. Jackson Invesco Mid Cap Value		None	J	T					
114. Jackson JPMorgan Mid Cap Grth		None	J	T					
115. UBS #3 Money Market	A	Interest	J	T					
116. HTF Amer Growth & Income		None	K	T					
117. HTF Amer Growth		None	K	T					
118. HTF Amer Global Growth		None	K	T					
119. HTF Franklin Mutual Shares		None	K	T					

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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)
120. Texas State Water FINL 5% due 8/1/2018	A	Interest			Redeemed	08/01/18	K	A	
121. Alabama St. Public Schools 2.5% due 3/1/2024	B	Interest	L	T					
122. Univ of North Texas 5% due 4/15/2024	B	Interest	K	T					
123. Eaton Vance Sen Floating Rate Trust	B	Dividend	K	T					
124. Eaton Vance Sen Floating Rate	B	Dividend	K	T					
125. Powershares ETF	A	Dividend	K	T					
126. ML Bank Deposit Program	A	Interest	N	T					
127. Nuveen Quality Muni Income Fund	B	Dividend	K	T					
128. Nuveen Muni Credit Income Fund	B	Dividend	K	T					
129. Invesco Senior Loan ETF	B	Dividend	K	T					
130. Metropolitan Trans Auth 5% 5/15/2020	B	Interest	M	T					
131. Miami Dade FLA Sch Dist. 5% 6/15/19	A	Interest	M	T					
132. University Texas 5% 8/15/2020	A	Interest	L	T					
133. Royse City TX ISD 5% 08/15/2020	A	Interest	M	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	

Name of Person Reporting	Date of Report
HEARTFIELD, THAD	7/09/2019

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

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

7/09/2019

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
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