

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/13/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 300 WILLOW STREET, RM. 212 BEAUMONT, TEXAS 77701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. _____	_____

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U.S. DISTRICT COURT
BEAUMONT, TEXAS

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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Name of Person Reporting

HEARTFIELD, THAD

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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.	
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.				
2.				
3.				
4.				
5.				

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Name of Person Reporting

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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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Name of Person Reporting

HEARTFIELD, THAD

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05/13/2010

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. Western National Life Ins. Co.	A	Interest	J	T					
2. Western National Life Ins. Co.	A	Interest	J	T					
3. Wachovia Bank, Checking	A	Interest	K	T					
4. Wachovia Bank, Checking	A	Interest	J	T					
5. Wachovia Bank, Checking	A	Interest	J	T					
6. Anadarko Petroleum Corp.	A	Royalty	J	T					
7. General American Universal Life	A	Distribution	K	T					
8. UBS RMA	A	Dividend	L	T					
9. UBS IRA#1 Money Market	A	Dividend	L	T					
10. U.S. Treas strips 5/15/09		None			Redeemed	05/15/09	L	F	
11. Fed Home Loan Bank 5.69 4/27/09	A	Interest			Redeemed	4/27/09	K	A	
12. FHLMC Mtn Callable 5.0 1/30/14	A	Interest			Redeemed	1/7/09	K	A	
13. FHILB Callable 5.0 6/26/18	A	Interest			Redeemed	03/26/09	K	A	
14. FNMA Call 5.4 2/23/17	B	Interest			Redeemed	04/06/09	K	A	
15. Alliance Bernstein Grth & Inc	A	Dividend			Sold	02/19/09	J	A	
16. MS Equally Weighted S&P 500 Fund	A	Dividend			Sold	02/19/09	J	A	
17. Oppenheimer Strategic Income	D	Dividend	L	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
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2. Value Codes:
(See Columns C1 and D3)

I = \$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

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

F = Cash Market

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/13/2010

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. Federated Bond Fund	D	Dividend	L	T					
19. Davis New York Venture	A	Dividend			Sold	02/19/09	K	A	
20. Pimco Total Return Fund	D	Dividend	M	T					
21. Bond Fund of America	C	Dividend	L	T					
22. EuroPacific Growth	A	Dividend			Sold	02/19/09	L	A	
23. Growth Fund of America	A	Dividend			Sold	02/19/09	K	A	
24. Investment Co. of America	A	Dividend			Sold	02/19/09	L	A	
25. Greenwood Trust CD 7.00 CPN 1/26/10	A	Interest	J	T					
26. Discover Bank CD 6.95 8/9/10	A	Interest	J	T					
27. Discover Bank CD 6.8 9/7/10	A	Interest	J	T					
28. Provident Nat'l CD 6.10 3/7/11	B	Interest	K	T					
29. HTF Amer Growth Fund		None	L	T					
30. HTF American Grth & Income		None	K	T					
31. HTF American Global Grth		None	L	T					
32. HTF Franklin Mutual Shares		None	K	T					
33. Amer Funds High Income	D	Dividend	M	T					
34. Merrill Lynch Note 5.0 1/15/15	B	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

H = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

I1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

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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)
35. Vanguard REIT ETF	D	Interest	M	T	Buy	4/22/09	L		
36. Doral Bank Catano PR 2.80 7/9/12	A	Interest	K	T	Buy	6/29/09	K		
37. CIT BK Salt Lk 3/25 7/8/13	A	Interest	K	T	Buy	6/30/09	K		
38. Goldman Sachs BK 3.50 2/4/14	A	Interest	K	T	Buy	1/27/09	K		
39. Goldman Sachs BK 3.75 2/4/16	A	Interest	K	T	Buy	1/27/09	K		
40. I Shares IBoxx Inv Grade Fund	B	Interest	K	T	Buy	4/22/09	K		
41. I Shares Barclays 1-3 yr Treas Fund	A	Interest	K	T	Buy	6/29/09	K		
42. I Shares Barclays Aggregate Bnd Fund	B	Interest	L	T	Buy	04/22/09	L		
43. I Shares Barclays TIPS Bnd Fnd	B	Interest	L	T	Buy	04/22/09	L		
44. I Shares Barclays 3-7 yr Tsy Fund	A	Interest	K	T	Buy	06/29/09	K		
45. UBS IRA #2 Money Market	A	Interest	J	T					
46. HTF American Growth & Income		None	K	T					
47. HTF American Growth		None	K	T					
48. HTF American Global Growth		None	K	T					
49. HTF Franklin Mutual Shares		None	K	T					
50. FFI Institutional Tax-Exempt Fund (money mkt.)	A	Dividend	L	T					
51. Tarrant Co. TX College 3.5 due 2/15/10	B	Interest	K	U					

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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Name of Person Reporting

HEARTFIELD, THAD

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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)
52. San Antonio, TX ISD 3.0 due 8/15/10	B	Interest	L	T					
53. San Antonio TX Electric & Gas 5.25 due 2/1/11	C	Interest	K	T					
54. Spring TX ISD 4.4 due 8/15/11	B	Interest	K	T					
55. Houston TX Area Water 5.5 due 3/1/12	B	Interest	K	T					
56. San Antonio TX Water Rev. 5.0 due 5/15/13	B	Interest	K	T					
57. San Antonio TX Electric & Gas 5.25 due 2/1/14	B	Interest	K	T					
58. TX Water Developmt Board 5.0 due 7/15/21	B	Interest	L	T	Buy	04/21/09	M		
59. TX Tech Univ. Revs. 5.0 due 8/15/25	B	Interest	K	T					
60. Harlandale TX ISD 4.75 due 8/15/36	C	Interest	L	T					
61. Dallas TX ISD 4.25 due 8/15/10	B	Interest			Sold	9/1/09	K	A	
62. Nuveen Insured Premium Income Fund	B	Dividend	K	T					
63. Nuveen Insured Quality Muni. Fund	A	Dividend	K	T					
64. Nuveen Insured Muni. Opportunity Fund	A	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

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
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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Date of Report

05/13/2010

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

VII. Investments and Trusts

Numbers 1 and 2 have changed their name from Annuity Ins. Co. (AIG) to Western National Life Ins. Co. and it is still an annuity.

In the 2009 report, the listing of FFI Institutional Tax-Exempt Fund (page 6, line 50) was not owned in 2008 and, therefore, not listed on the 2008 report because it is a money market vehicle which is invested or redeemed to meet the cash flow needs of the investment account. It does not increase or decrease in its share value (\$1.00 = \$1.00); but, it does earn dividends.

The TX Tech University bond (page 7, line 59) was listed on the 2008 report, but the maturity date of 02/15/12 on that report was wrong; it should have been listed as 08/15/25 and has been corrected on the 2009 report.

The listings of Citicorp Trust Bank and Citibank N.A.S.D. Bank Deposit Program (2008 report, page 7, lines 58 & 59 respectively) were not included in the 2009 report because they are money market vehicles which are invested or redeemed to meet the cash flow needs of the investment account. They did not increase or decrease in their share values (\$1.00 = \$1.00); but, they did earn dividends.

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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/13/2010

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/5/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 300 WILLOW STREET, RM. 212 BEAUMONT, TEXAS 77701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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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2009 MAY 10 P 12:17
CLERK OF COURT OFFICE

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Name of Person Reporting
HEARTFIELD, THAD

Date of Report
05/5/2010

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. _____	_____
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. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____

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Name of Person Reporting
HEARTFIELD, THAD

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05/5/2010

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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Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/5/2010

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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.	Western National Life Ins. Co.	A	Interest	J	T					
2.	Western National Life Ins. Co.	A	Interest	J	T					
3.	Wachovia Bank, Checking	A	Interest	K	T					
4.	Wachovia Bank, Checking	A	Interest	J	T					
5.	Wachovia Bank, Checking	A	Interest	J	T					
6.	Anadarko Petroleum Corp.	A	Royalty	J	T					
7.	General American Universal Life	A	Distribution	K	T					
8.	UBS RMA	A	Dividend	L	T					
9.	UBS IRA#1 Money Market	A	Dividend	L	T					
10.	U.S. Treas strips 5/15/09		None			Redeemed	05/15/09	L	F	
11.	Fed Home Loan Bank 5.69 4/27/09	A	Interest			Redeemed	4/27/09	K	A	
12.	FHLMC Mun Callable 5.0 1/30/14	A	Interest			Redeemed	1/7/09	K	A	
13.	FHLB Callable 5.0 6/26/18	A	Interest			Redeemed	03/26/09	K	A	
14.	FNMA Call 5.4 2/23/17	B	Interest			Redeemed	04/06/09	K	A	
15.	Alliance Bernstein Grth & Inc	A	Dividend			Sold	02/19/09	J	A	
16.	MS Equally Weighted S&P 500 Fund	A	Dividend			Sold	02/19/09	J	A	
17.	Oppenheimer Strategic Income	D	Dividend	L	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I12 = 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 P1 = \$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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05/5/2010

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. Federated Bond Fund	D	Dividend	L	T					
19. Davis New York Venture	A	Dividend			Sold	02/19/09	K	A	
20. Pimco Total Return Fund	D	Dividend	M	T					
21. Bond Fund of America	C	Dividend	L	T					
22. EuroPacific Growth	A	Dividend			Sold	02/19/09	L	A	
23. Growth Fund of America	A	Dividend			Sold	02/19/09	K	A	
24. Investment Co. of America	A	Dividend			Sold	02/19/09	L	A	
25. Greenwood Trust CD 7.00 CPN 1/26/10	A	Interest	J	T					
26. Discover Bank CD 6.95 8/9/10	A	Interest	J	T					
27. Discover Bank CD 6.8 9/7/10	A	Interest	J	T					
28. Provident Nat'l CD 6.10 3/7/11	B	Interest	K	T					
29. HTF Amer Growth Fund		None	L	T					
30. HTF American Grth & Income		None	K	T					
31. HTF American Global Grth		None	L	T					
32. HTF Franklin Mutual Shares		None	K	T					
33. Amer Funds High Income	D	Dividend	M	T					
34. Merrill Lynch Note 5.0 1/15/15	B	Interest	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 \$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	F = Cash Market	

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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 I (A-I)	(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 I (A-I)	(5) Identity of buyer/seller (if private transaction)
35. Vanguard REIT ETF	D	Interest	M	T	Buy	4/22/09	L		
36. Doral Bank Catano PR 2.80 7/9/12	A	Interest	K	T	Buy	6/29/09	K		
37. CIT BK Salt Lk 3/25 7/8/13	A	Interest	K	T	Buy	6/30/09	K		
38. Goldman Sachs BK 3.50 2/4/14	A	Interest	K	T	Buy	1/27/09	K		
39. Goldman Sachs BK 3.75 2/4/16	A	Interest	K	T	Buy	1/27/09	K		
40. 1 Shares 1Boxx Inv Grade Fund	B	Interest	K	T	Buy	4/22/09	K		
41. 1 Shares Barclays 1-3 yr Treas Fund	A	Interest	K	T	Buy	6/29/09	K		
42. 1 Shares Barclays Aggregate Bnd Fund	B	Interest	L	T	Buy	04/22/09	L		
43. 1 Shares Barclays TIPS Bnd Fnd	B	Interest	L	T	Buy	04/22/09	L		
44. 1 Shares Barclays 3-7 yr Tsy Fund	A	Interest	K	T	Buy	06/29/09	K		
45. UBS IRA #2 Money Market	A	Interest	J	T					
46. HTF American Growth & Income		None	K	T					
47. HTF American Growth		None	K	T					
48. HTF American Global Growth		None	K	T					
49. HTF Franklin Mutual Shares		None	K	T					
50. FFI Institutional Tax-Exempt Fund (money mkt.)	A	Dividend	L	T					
51. Tarrant Co. TX College 3.5 due 2/15/10	B	Interest	K	U					

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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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Name of Person Reporting
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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)
52. San Antonio, TX ISD 3.0 due 8/15/10	B	Interest	L	U					
53. San Antonio TX Electric & Gas 5.25 due 2/1/11	C	Interest	K	U					
54. Spring TX ISD 4.4 due 8/15/11	B	Interest	K	U					
55. Houston TX Area Water 5.5 due 3/1/12	B	Interest	K	U					
56. San Antonio TX Water Rev. 5.0 due 5/15/13	B	Interest	K	U					
57. San Antonio TX Electric & Gas 5.25 due 2/1/14	B	Interest	K	U					
58. TX Water Developmt Board 5.0 due 7/15/21	B	Interest	L	U					
59. TX Tech Univ. Revs. 5.0 due 8/15/25	B	Interest	K	U					
60. Harlandale TX ISD 4.75 due 8/15/36	C	Interest	L	U					
61. Dallas TX ISD 4.25 due 8/15/10	B	Interest			Sold	9/1/09	K	A	
62. Nuveen Insured Premium Income Fund	B	Dividend	K	U					
63. Nuveen Insured Quality Muni. Fund	A	Dividend	K	U					
64. Nuveen Insured Muni. Opportunity Fund	A	Dividend	K	U					

1. Income Gain Codes (See Columns H1 and I4)	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 I12 = 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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Name of Person Reporting HEARTFIELD, THAD	Date of Report 05/5/2010
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

VII. Investments and Trusts

Numbers 1 and 2 have changed their name from Annuity Ins. Co. (AIG) to Western National Life Ins. Co. and it is still an annuity.

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Name of Person Reporting

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544