

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 06/27/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2006 to 12/31/2006
5b. ☒ Amended Report		
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 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 instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

RECEIVED
 2007 JUL -5 A 10:53
 FINANCIAL
 DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME

(yours, not spouse's)

1. 08/07/2006

Attorney fee from Chapter 7 Trustee regarding Troy Dodson
Construction Co., Inc. (originated in mid-1980s)

\$ 4860

2.

3.

4.

5.

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.)*DATESOURCE AND TYPE

1.

2.

3.

4.

5.

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*SOURCEDESCRIPTION

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*☒ NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*☒ NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Annuity Ins. Co. (AIG)	A	Interest	J	T					
2. Annuity Ins. Co. (AIG)	A	Interest	J	T					
3. Southtrust Bank, Checking	A	Interest	K	T					
4. Southtrust Bank, Checking	B	Interest	J	T					
5. Southtrust Bank, Checking	A	Interest	J	T					
6. Hebbronville State Bank Stock		None	J	T	Sell	3/21	K	E	
7. Anadarko Petroleum Corp.	A	Royalty	J	T					
8. General American Universal Life		None	K	T					
9. UBS RMA	C	Dividend	L	T					
10. UBS IRA#1 Money Market	A	Interest	K	T					
11. FICO strips 2/3/08		None	K	T					
12. US Treas. strips 5/15/09		None	L	T					
13. Fannie Mae (FNMA) 6.15 12/10/07	B	Interest	K	T					
14. Fed. Home Loan Mortgage (FHLMC) 5.125 10/15/08	B	Interest	K	T					
15. Fed. Home Loan Bank 5.79 4/27/09	B	Interest	K	T					
16. FNMA Call Step-up Nts 4.0 9/21/12	A	Interest	K	T					
17. FHLMC Callable 4.625 5/28/13	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

B = \$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

H1 = \$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

H2 = 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

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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				
	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. FHLMC Mtn Callable 5.0 1/30/14	A	Interest	K	T	Buy	3/1	K		
19. FHLMC Step up Mtn 4.5 10/15/16	B	Interest	K	T					
20. FHLB Callable 5.0 6/26/18	B	Interest	K	T					
21. Alliance Bernstein Grth & Inc.	A	Dividend	K	T					
22. MS Equally Weighted S&P 500 Fund	A	Dividend	K	T					
23. Oppenheimer Strategic Income	C	Dividend	L	T					
24. Federated Bond Fund	C	Dividend	L	T					
25. Davis New York Venture	A	Dividend	L	T					
26. Pimco Total Return Fund	C	Dividend	M	T					
27. Bond Fund of Amer.	C	Dividend	L	T					
28. EuroPacific Growth	D	Dividend	L	T					
29. Growth Fund of America	C	Dividend	L	T					
30. Investment Co. of America	D	Dividend	M	T					
31. First USA Bank CD 5.75 2/28/06	A	Interest			Redemption	2/28	K		
32. Greenwood Trust CD 7.00 CPN 1/26/10	A	Interest	J	T					
33. Discover Bank CD 6.95 CPN 8/9/10	A	Interest	J	T					
34. Discover Bank CD 6.8 CPN 9/7/10	A	Interest	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	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	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Provident Nat'l CD 6.10 CPN 3/7/11	B	Interest	K	T					
36. Hartford Select (HTF) Leaders 2 Var. Annuity									
37. HTF Amer. Growth Fund	C	Dividend	L	T	Buy	6/26	J		
38. HTF American Grth. & Income	D	Dividend	L	T	Buy	6/26	J		
39. HTF American Global Grth	D	Dividend	L	T	Buy	6/26	J		
40. HTF Franklin Mutual Shares	D	Dividend	L	T	Buy	6/26	J		
41. HTF MFS Total Return		None	K	T	Sell	6/26	K	C	
42. UBS IRA #2									
43. Hartford Select Leaders Variable Annuity (HTF)									
44. HTF American Growth & Income	C	Dividend	K	T	Buy	6/26	J		
45. HTF American Growth	B	Dividend	K	T	Buy	6/26	J		
46. HTF American Global Growth	C	Dividend	K	T	Buy	6/26	J		
47. HTF Franklin Mutual Shares	C	Dividend	K	T	Buy	6/26	J		
48. HTF MFS Total Return		None	K	T	Sell	6/26	K	B	
49. Money Market Bank One, N.A.	A	Dividend	J	T					
50. Nuveen Insured Muni. Oppor. Fund	A	Dividend	K	T					
51. Nuveen Insured Quality Muni. Fund	A	Dividend	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

B = \$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

H1 = \$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

H2 = 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

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Nuveen Insured Premium Income Muni. Fund	B	Dividend	K	T					
53. Bank Deposit Program Citabank, N.A.	B	Interest	K	T					
54. Dallas TX ISD Bond 4.25% due 8/15/10	B	Interest	K	T					
55. Houston TX Area Water Corp. 5.5% due 3/1/12	B	Interest	K	T					
56. Pearland TX Cert of Oblig. 5.25% due 3/1/07	B	Interest	K	T					
57. Plano TX ISD Bond 4.9% due 2/15/06	A	Interest			Matured	2/15	K	A	
58. Rowlett TX Cert. of Oblig. 5.5% due 2/15/07	B	Interest	K	T					
59. Sachse TX Cert. of Oblig. 5.0% due 2/15/08	B	Interest	K	T					
60. San Antonio TX ISD Bond 3.0% due 8/15/10	A	Interest	L	T	Buy	3/23	L		
61. San Antonio TX Elec. & Gas 5.25% due 2/1/11	B	Interest	K	T					
62. San Antonio TX Water Rev. Bond 5.0% due 5/15/13	B	Interest	K	T					
63. San Antonio TX Elec. & Gas 5.25% due 2/1/14	B	Interest	K	T					
64. Spring TX ISD Series A 4.4% due 8/15/11	B	Interest	L	T					
65. TX State Rfdg. Series B 5.125% due 10/1/09	B	Interest	K	T					
66. Tarrant Cnty. TX College Dist. 3.5% due 2/15/10	B	Interest	K	T					
67. TX Tech Univ. Revs. Fing. Sys. 5.0% due 2/15/12	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

B=\$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

H1=\$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

H2=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

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

06/27/2007

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

Date

6-27-07

NOTE: ANYONE WHO KNOWINGLY AND INTENTIONALLY
AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

WHOLLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL

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 2006

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 05/03/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
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 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 instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

RECEIVED
 2007 MAY -9 A 9:27
 FINANCIAL
 DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 08/07/2006	Attorney fee from Chapter 7 Trustee regarding Troy Dodson Construction Co., Inc. (originated in mid-1980s)	\$ 4860
2.		
3.		
4.		
5.		

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.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Annuity Ins. Co. (AIG)	A	Interest	J	T					
2. Annuity Ins. Co. (AIG)	A	Interest	J	T					
3. Southtrust Bank, Checking	A	Interest	K	T					
4. Southtrust Bank, Checking	B	Interest	J	T					
5. Southtrust Bank, Checking	A	Interest	J	T					
6. Hebbroville State Bank Stock		Dividend			Sell	3/21	K	E	
7. Anadarko Petroleum Corp.	A	Royalty	J	T					
8. General American Universal Life		None	K	T					
9. UBS RMA	C	Dividend	L	T					
10. UBS IRA#1 Money Market	A	Interest	K	T					
11. FICO strips 2/3/08		None	K	T					
12. US Treas. strips 5/15/09		None	L	T					
13. Fannie Mae (FNMA) 6.15 12/10/07	B	Interest	K	T					
14. Fed. Home Loan Mortgage (FHLMC) 5.125 10/15/08	B	Interest	K	T					
15. Fed. Home Loan Bank 5.79 4/27/09	B	Interest	K	T					
16. FNMA Call Step-up Nts 4.0 9/21/12	A	Interest	K	T					
17. FHLMC Callable 4.625 5/28/13	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$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 H1 = \$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 H2 = 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. FHLMC Mtn Callable 5.0 1/30/14	A	Interest	K	T	Buy	3/1	K		
19. FHLMC Step up Mtn 4.5 10/15/16	B	Interest	K	T					
20. FHLB Callable 5.0 6/26/18	B	Interest	K	T					
21. Alliance Bernstein Grth & Inc.	A	Dividend	K	T					
22. MS Equally Weighted S&P 500 Fund	A	Dividend	K	T					
23. Oppenheimer Strategic Income	C	Dividend	L	T					
24. Federated Bond Fund	C	Dividend	L	T					
25. Davis New York Venture	A	Dividend	L	T					
26. Pimco Total Return Fund	C	Dividend	M	T					
27. Bond Fund of Amer.	C	Dividend	L	T					
28. EuroPacific Growth	D	Dividend	L	T					
29. Growth Fund of America	C	Dividend	L	T					
30. Investment Co. of America	D	Dividend	M	T					
31. First USA Bank CD 5.75 2/28/06	A	Interest			Redemption	2/28	K		
32. Greenwood Trust CD 7.00 CPN 1/26/10	A	Interest	J	T					
33. Discover Bank CD 6.95 CPN 8/9/10	A	Interest	J	T					
34. Discover Bank CD 6.8 CPN 9/7/10	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$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 H1 = \$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 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$55,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
--	---	--	---	--	-------------------------

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Provident Nat'l CD 6.10 CPN 3/7/11	B	Interest	K	T					
36. Hartford Select (HTF) Leaders 2 Var. Annuity									
37. HTF Amer. Growth Fund	C	Dividend	L	T	Buy	6/26	J		
38. HTF American Grth. & Income	D	Dividend	L	T	Buy	6/26	J		
39. HTF American Global Grth	D	Dividend	L	T	Buy	6/26	J		
40. HTF Franklin Mutual Shares	D	Dividend	L	T	Buy	6/26	J		
41. HTF MFS Total Return					Sell	6/26	K	C	
42. UBS IRA #2									
43. Hartford Select Leaders Variable Annuity (HTF)									
44. HTF American Growth & Income	C	Dividend	K	T	Buy	6/26	J		
45. HTF American Growth	B	Dividend	K	T	Buy	6/26	J		
46. HTF American Global Growth	C	Dividend	K	T	Buy	6/26	J		
47. HTF Franklin Mutual Shares	C	Dividend	K	T	Buy	6/26	J		
48. HTF MFS Total Return					Sell	6/26	K	B	
49. Money Market	A	Dividend	J	T					
50. Nuveen Insured Muni. Oppor. Fund	A	Dividend	K	T					
51. Nuveen Insured Quality Muni. 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	T = Cash Market
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	P4 = More than \$50,000,000 S = Assessment W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Nuveen Insured Premium Income Muni. Fund	B	Dividend	K	T					
53. Bank Deposit Program	B	Interest	K	T					
54. Dallas TX ISD Bond 4.25% due 8/15/10	B	Interest	K	T					
55. Houston TX Area Water Corp. 5.5% due 3/1/12	B	Interest	K	T					
56. Pearland TX Cert of Oblig. 5.25% due 3/1/07	B	Interest	K	T					
57. Plano TX ISD Bond 4.9% due 2/15/06	A	Interest			Matured	2/15	K	A	
58. Rowlett TX Cert. of Oblig. 5.5% due 2/15/07	B	Interest	K	T					
59. Sachse TX Cert. of Oblig. 5.0% due 2/15/08	B	Interest	K	T					
60. San Antonio TX ISD Bond 3.0% due 8/15/10	A	Interest	L	T	Buy	3/23	L	A	
61. San Antonio TX Elec. & Gas 5.25% due 2/1/11	B	Interest	K	T					
62. San Antonio TX Water Rev. Bond 5.0% due 5/15/13	B	Interest	K	T					
63. San Antonio TX Elec. & Gas 5.25% due 2/1/14	B	Interest	K	T					
64. Spring TX ISD Series A 4.4% due 8/15/11	B	Interest	L	T					
65. TX State Rfdg. Series B 5.125% due 10/1/09	B	Interest	K	T					
66. Tarrant Cnty. TX College Dist. 3.5% due 2/15/10	B	Interest	K	T					
67. TX Tech Univ. Revs. Fing. Sys. 5.0% due 2/15/12	B	Interest	K	T					

1. Income Gain Codes:
(See Columns BI 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 CI 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

P4=More than \$50,000,000
S=Assessment
W=Estimated

T=Cash Market

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

HEARTFIELD, THAD

Date of Report

05/03/2007

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.

Sig

Date

5-3-07

N

AN

IES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL

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