

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/29/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

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. 2019	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. 2019	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.	George Mason University Foundation, Inc.	01/23 - 01/26/2019	Islamorada, FL	Attend Education Series for Judges	Transportation, food, lodging
2.	Texas State Bar Bankruptcy Section	04/17 - 04/19/2019	Austin, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
3.	Texas State Bar Bankruptcy Section	05/31/2019	Houston, TX	Speaker at Bankruptcy Conference	Transportation, food, lodging
4.	University of Texas at Austin	07/24 - 07/26/2019	Houston, TX	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.)

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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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.	J	T					
16. - iShares S&P Small-Cap 600 Value ETF	A	Int./Div.	J	T					
17. - Vanguard Value ETF	A	Int./Div.	J	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

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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)
18. - Hartford World Bond Fund	A	Int./Div.	J	T					
19. - MainStay Mackay High Yield Corp R6	A	Int./Div.	J	T					
20. - JPM U.S. Govt. Money Market Capital	A	Int./Div.	J	T					
21. Bank of America	A	Interest	J	T					
22. Wells Fargo	A	Interest	L	T					
23.									
24. EDWARD JONES Brokerage Account (H)									
25. - Edward Jones Cap World Growth & Income Fund CLA	B	Dividend	K	T					
26. - Edward Jones Tax Exempt Bond Fund Amer CLA	B	Dividend	K	T					
27. - Exxon Mobil	C	Dividend	L	T					
28. Texas Federal Credit Union	A	Interest	J	T					
29. Investment Property - Carrollton, TX - Assessed Value of \$159,161	B	Interest	M	S					
30. Edward Jones Savings	A	Interest	K	T					
31. House - St. Joseph, LA - Assessed Value of \$36,000		None	K	S					
32. Beneficiary IRA - CrossKeys Bank	A	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The investment property listed on line 29 of part VII is a condominium in Carrollton, Texas that [REDACTED] purchased 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 2019. 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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