

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) Heaton, Joe L.	2. Court or Organization District Court - Western District of Oklahoma	3. Date of Report 10/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge - Senior Status	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 Courthouse 200 NW 4th Street, Room 2301 Oklahoma City, OK 73102		
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. Co-Trustee	Trust #1
2. Co-Trustee	Trust #2
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. N/A	Oklahoma Public Employees Retirement System - receiving monthly benefit
2.	
3.	

Name of Person Reporting	Date of Report
Heaton, Joe L.	10/06/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Heaton, Joe L.	10/06/2020

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. Duke Energy common stock	B	Dividend	L	T					
2. Enbridge Inc. (formerly Spectra Energy) common stock	B	Dividend	K	T					
3. Xcel Energy common stock	B	Dividend	L	T					
4. Oil & gas working interest	C	Royalty	J	V					
5. Morgan Stanley money fund	A	Dividend	K	T					
6. Investment Company of America	D	Dividend	M	T					
7. Europacific Growth Fund	C	Dividend	L	T					
8. Bank of Oklahoma accounts	A	Interest	K	T					
9. 323 East Mosier Ltd Partnership Ltd. part. interest	B	Dividend	N	U					
10. Masterpiece Properties LP - ltd. part. interest	E	Rent	M	U	Buy (add'l)	01/01/19	K		Son
11. Meadowood II LP Ltd. part. int. real est. dev. Cleveland, OK	C	Rent	K	U					
12. Hollywood Shopping Center LLC, Norman, OK	C	Rent	J	U					
13. West Oaks Rentals, gen. part. Norman, OK office bldg.	A	Rent	J	U					
14. Norman Construction & Paving common stock		None	J	T					
15. DDB Limited Partnership, ltd. part. interest	D	Rent	O	U					
16. Growth Fund of America	D	Dividend	M	T					
17. Voya Ins. Co.	A	Dividend	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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Heaton, Joe L.

Date of Report

10/06/2020

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. Int.Growth & Income Fund	A	Dividend	K	T					
19. Small Cap World Fund	B	Dividend	K	T					
20. Mineral interest - Harper Co., Okla.	A	Royalty	J	V					
21. Executive Producers LP, ltd. part. int.	E	Rent	N	U					
22. Tax Exempt Bond Fund A	A	Interest	L	T					
23. Individual Retirement Account #1 (H)									
24. - Amcap Fund	C	Dividend	L	T	Sold (part)	08/31/19	L		
25. - Investment Company of America	E	Dividend	N	T	Sold (part)	08/31/19	L		
26. - Morgan Stanley cash account	A	Interest	J	T					
27. - Growth Fund of America	D	Dividend	M	T	Sold (part)	08/31/19	L		
28. - EuroPacific Growth Fund	A	Dividend	K	T					
29. International Growth and Income Fund	A	Dividend	K	T					
30. Bond Fund of America A	A	Interest	M		Buy	08/31/19	M		
31. Short Term Bond Fund A	A	Interest	M		Buy	08/31/19	M		
32. Individual Retirement Account #2 (H)									
33. - Amcap Fund	C	Dividend	M	T	Sold (part)	08/31/19	L		
34. - Investment Company of America	D	Dividend	M	T	Sold (part)	08/31/19	K		

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	

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)
35. -Morgan Stanley cash account	A	Interest	J	T					
36. - Growth Fund of America	D	Dividend	L	T	Sold (part)	08/31/19	K		
37. - EuroPacific Growth Fund	A	Dividend	K	T					
38. - International Growth & Income Fund	A	Dividend	K	T					
39. Bond Fund of America A	A	Interest	L		Buy	08/31/19	L		
40. Short Term Bond Fund A	A	Interest	L		Buy	08/31/19	L		
41. Alligence Credit Union account	A	Interest	J	T					
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

1 Income Gain Codes:

(See Columns B1 and D4)

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A =\$1,000 or less

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52.									
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66.									
67.									
68.									

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
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	(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)
69.									
70.									
71.									
72.									
73.									
74.									
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77.									
78.									
79.									
80.									
81.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Heaton, Joe L.

Date of Report

10/06/2020

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

1. The value of the oil and gas working interest identified in Part VII, line 4, is based on average monthly income during the period x36 months. The wells are located in Oklahoma (Folmar) and McClain (Lewis 1-11 and Mooney) Counties, Oklahoma. The Harper County mineral interest in line 20 is valued the same way.
2. The limited partnership interests identified in Part VII, lines 10, 11, 12, 15, and 21 also had interest or dividend income in addition to rental income (per K-1). The properties generating rental income are in Cleveland County, OK.
3. Trust I and Trust 2 referenced in Part I (positions) are revocable trusts created by filer and spouse in prior year, with filer and spouse being co-trustees and beneficiaries of each trust. Assets owned are fully reflected in entries 1-22 and have not changed from prior reports except as indicated (value changes, etc.).
4. All mutual funds are part of American Funds family.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Heaton, Joe L.

Date of Report

10/06/2020

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/ **Joe L. Heaton**

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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Washington, D.C. 20544