

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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) Haynes, Catharina D.	2. Court or Organization Fifth Circuit	3. Date of Report 04/15/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 1100 Commerce Street Rm. 1452 Dallas, TX75242		
IMPORTANT NOTES: <i>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>		

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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Name of Person Reporting

Haynes, Catharina D.

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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. 2020	Thompson & Knight Law Partnership Income
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. Appellate Judges Education Institute	January 13-14	Austin, TX	Education Committee Meeting	Bus Travel, hotel, food
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Haynes, Catharina D.	04/15/2021

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.		

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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)	(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. Bank of America Accounts (see note in Section VIII)	A	Interest	O	T	Redeemed (part)	12/21/20	P1		
2. Janus Henderson Fund f/k/a Janus Money Fund	A	Interest	J	T					
3. TRP Government Money Fund	B	Interest	O	T	Buy	07/06/20	J		
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	D	Dividend	N	T					
6. TRP New America Growth	F	Dividend	O	T					
7. TRP Health Science Fund	G	Dividend	P1	T					
8. TRP Tax Efficient Equity	E	Dividend	P1	T					
9. TRP Tax Free Income	E	Dividend	P1	T	Buy	07/06/20	J		
10. TRP Tax Free Short Intermediate	A	Dividend	K	T					
11. IBM	C	Dividend	L	T					
12. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
13. Franklin Mutual Shares Class Z	E	Dividend	P1	T					
14. Janus Henderson Research Fund D Shares f/ k/a Janus Fund	E	Dividend	P1	T					
15. TRP Capital Appreciation	D	Dividend	M	T					
16. TRP Equity Income Fund	D	Dividend	N	T	Redeemed (part)	06/01/20	J		
17.					Buy	07/06/20	J		

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
18. Vanguard REIT Fund	E	Dividend	O	T					
19. Vanguard 500 Index Fund	E	Dividend	P1	T					
20. Vanguard TM Small Cap	D	Dividend	O	T					
21. US EE Savings Bond	C	Dividend	L	T					
22. TRP Retirement 2020 (IRA)	D	Dividend	L	T					
23. TRP Retirement 2030 (IRA)	E	Dividend	O	T					
24. Thompson Knight Partnership Equity		None	M	U					
25. TX Emp. Ret. Plan (H)									
26. -Vanguard Institutional Fund,	B	Dividend	K	T					
27. -Vanguard Growth Fund	A	Dividend	M	T					
28. -Black Rock Bond Fund		None	L	T					
29. State of Tx. Judicial Retirement Equity	B	Interest	L	T					
30. Texas County & District Retirement System	B	Interest	K	T					
31. TRP Small Cap. Value	B	Dividend	L	T					
32. Thompson Knight 401K (H)(see note at VIII)									
33. -Vanguard Wellington Fund	E	Dividend	M	T					
34. -Vanguard Institutional Fund	F	Dividend	P1	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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☐ NONE (No reportable income, assets, or transactions.)

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35. -Stable Value Fund		None	O	T					
36. -Vanguard Target Retirement 2025	C	Dividend	M	T					
37. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/20	J		
38. TRP Global Stock (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/20	J		
39. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/20	J		
40. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/20	J		
41. TRP Spectrum Growth (IRA)	D	Dividend	K	T	Redeemed (part)	06/01/20	J		
42. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/20	J		
43. US i Savings Bond	A	Interest	J	T					
44. Chase Bank Account checking (see note at Section VIII)		None	N	T					
45. PCRAX (IRA)	A	Dividend	J	T					
46. BB&T Account	A	Interest	M	T					
47. Capital One Bank Account	D	Interest	P1	T					
48. TRP US Treasury Money (IRA)	A	Interest	M	T	Redeemed (part)	06/01/20	J		
49. Vanguard Inf. Protec. Securities	B	Dividend	M	T					
50. PAEMX (IRA)	A	Dividend	K	T					
51. Oil&Gas Reeves Cty TX: Centennial Res. Prod. LLC (see note at VIII)		None	J	W					

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52. Bank of America IM Account (see note in Section VIII)		None	P1	T	Spinoff (from line 1)	12/21/20	P1		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

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(See Column C2)

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

III. and VII: I recuse from all cases in which Thompson Knight is either a party or represents a party.

VII. Lines 1 and 52: A portion of the checking account was moved to an investment management account at the same bank. However, no actual investment was made with the funds in 2020.

Lines 28 and 35: No dividend or distribution was declared or paid in 2020.

Lines 32-36: [REDACTED] makes regular payroll deduction contributions (amount J) to this regular 401K fund every paycheck (twice a month) until the maximum allowable 401K limit is reached. [REDACTED] firm also contributes to this fund as part of [REDACTED] compensation.

Line 44: This is a non-interest bearing checking account reported for informational purposes.

Line 51: [REDACTED] has a joint, shared mineral interest inherited through family in 1/3 acre in Reeves County, Texas, which, until 2018, produced no income. In 2018, it was leased to Centennial Resource Production, LLC of Denver. It produced no income in 2020.

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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/ Catharina D. Haynes**

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