

**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) HEARTFIELD, THAD	2. Court or Organization U.S.D.C. - TEXAS EASTERN	3. Date of Report 5/5/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 300 WILLOW STREET, RM. 212 BEAUMONT, TEXAS 77701		
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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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.)

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.)



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.)



NONE (No reportable reimbursements.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

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.		

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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)
1. American General Life Services Co LLC	A	Interest	J	T					
2. American General Life Services Co LLC	A	Interest	J	T					
3. Wells Fargo, Checking	A	Interest	M	T					
4. Wells Fargo, Checking	A	Interest	L	T					
5. Wells Fargo, Checking	A	Interest	L	T					
6. Dorado Oil Co., Corpus Christi, TX	A	Royalty	J	T					
7. UBS RMA Money Market	A	Interest	J	T					
8. Pacer Trendpilot 100 ETF	A	Dividend	J	T					
9. Pacer Trendpilot US LC ETF	A	Dividend	J	T					
10. Pacer Trendpilot US MidCap ETF	A	Dividend	J	T					
11. American Electric Power	A	Dividend	J	T	Buy	02/13/20	J		
12. Pacer Benchmark Date & Infrastructure RE ETF	A	Dividend	J	T	Buy	02/13/20	J		
13. Lord Abbett Ultra Short Bond Fed	A	Interest			Sold	02/13/20	J	A	
14. UBS #1 Money Market	A	Interest							
15. Pacer Trendpilot MC ETF	A	Dividend			Sold	09/10/20	K	A	
16. Pacer Trendpilot LC ETF	A	Dividend	K	T					
17. Pacer Trendpilot 100 ETF	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 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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☐ NONE (No reportable income, assets, or transactions.)

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18. Ishares TIPS Bond ETF	A	Interest	L	T					
19. Federated Bond Fund	C	Interest	L	T					
20. Guggenheim Total Return Fund	A	Interest	K	T					
21. Lord Abbett Bond Debent Fund	C	Interest	L	T					
22. Performance Trust Strat Fund	B	Interest	L	T					
23. Western Assett Core Plus Bond	B	Interest	L	T					
24. Lord Abbett Ultra Short Fund	A	Interest	L	T					
25. Lord Abbett Floating Rate	B	Interest			Sold	09/10/20	L	A	
26. American Mod G & Inc Fund	C	Dividend	N	T					
27. HTF Amer Growth Fund		None	M	T					
28. HTF Amer Growth & Income		None	M	T					
29. HTF Amer Global Growth		None	M	T					
30. HTF Franklin Mutual Shares		None	L	T					
31. Jackson Invesco Global Growth		None	K	T					
32. Jackson America Funds Int'l		None	K	T					
33. Jackson Blackrock Global Nat Res		None	K	T					
34. Jackson JP Morgan Global Alloc		None	K	T					

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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	
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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)
35. Jackson Rafi Multi Factor US Eqty		None	K	T					
36. Jackson Loomis Sayles Global Grth		None	K	T					
37. Jackson Invesco Global Real Estate		None	K	T					
38. Jackson Mellon Energy Sector		None	J	T					
39. Jackson Mult-Manager SC Grth		None	J	T					
40. Jackson JP Morgan MC Grth		None	J	T					
41. Jackson Multi Manager SC Grth		None	J	T					
42. UBS #3 Money Market	A	Interest	J	T					
43. HTF Amer Growth		None	L	T					
44. HTF Amer Global Growth		None	L	T					
45. HTF Amer Growth & Inc		None	K	T					
46. HTF Franklin Mutual Shares		None	K	T					
47. Eaton Vance Senior Floating Rate Tr	B	Dividend	K	T					
48. Nuveen AMT Free Quality Muni Inc. Fund	B	Dividend	K	T					
49. Nuveen AMTFree Muni Credit Inc Fund	B	Dividend	K	T					
50. Invesco Exchange Traded Fd II ETF	B	Dividend	K	T					
51. Alabama Pub Sch & Col 2.5% Due 3/1/24	B	Interest	L	T					

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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)
52. Morgan Stanley Inst Liq Money Market	A	Dividend	M	T					
53. Financial Square Prime Money Market	A	Dividend	M	T					
54. JPM Deposit Cash	A	Interest	K	T					

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

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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/ **THAD HEARTFIELD**

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