

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/08/2015
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 1100 Commerce Street Rm. 1452 Dallas, TX 75242		
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. Advisory Board Member	Emory University School of Law Alumni Advisory Board (see note in Section VIII)
2. Board Member/Secretary (term as secretary began 8/2013 and ended 8/2014)	Appellate Judges Education Institute (see note in Section VIII)
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.	
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. 2014

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. American Bar Association
Judicial Division Appellate
Judges Conf.

Feb. 5-9, 2014

Chicago, IL

Board meeting of Appellate
Judges Conference & speak
at ABA meeting

airfare, hotel and meal

2. Houston Bar Association

June 18-19, 2014

Corpus Christi, TX

Speak at Bankruptcy
Bench/Bar CLE
presentation

travel, hotel and meals

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. Bank of America Accounts	B	Interest	P1	T					
2. Janus Money Fund (see note at VIII)		None	J	T					
3. T. Rowe Price (TRP) Prime Reserve Fund	A	Interest	O	T					
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	D	Dividend	M	T	Buy	02/03/14	J		
6.					Buy (add'l)	09/30/14	J		
7. TRP New America Growth	E	Dividend	M	T					
8. TRP Health Science Fund	F	Dividend	O	T	Buy	02/03/14	J		
9.					Buy (add'l)	09/30/14	J		
10. TRP Tax Efficient Equity	D	Dividend	N	T	Buy	02/03/14	J		
11.					Buy (add'l)	09/30/14	J		
12. TRP Tax Free Income	E	Dividend	P1	T	Buy	02/03/14	J		
13. TRP Tax Free Short Intermediate	A	Dividend	K	T					
14. IBM	B	Dividend	L	T					
15. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
16. Franklin Mutual Shares Class Z	E	Dividend	O	T	Buy	09/29/14	J		
17. Janus Fund	F	Dividend	N	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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18. TRP Capital Appreciation	D	Dividend	L	T	Buy	02/03/14	J		
19. TRP Equity Income Fund	D	Dividend	M	T	Redeemed (part)	06/02/14	J		
20. Vanguard REIT Fund	D	Dividend	N	T	Buy	09/29/14	J		
21. Vanguard 500 Index Fund	D	Dividend	O	T	Buy	02/03/14	J		
22.					Buy (add'l)	10/20/14	K		
23. Vanguard TM Small Cap	C	Dividend	N	T	Buy	02/03/14	J		
24.					Buy (add'l)	09/29/14	J		
25. US EE Savings Bond	C	Dividend	L	T					
26. TRP Retirement 2020 (IRA)	B	Dividend	K	T					
27. TRP Retirement 2030 (IRA)	E	Dividend	N	T					
28. Thompson Knight Partnership Equity		None	M	U					
29. TX Emp. Ret. Plan	B	Dividend	M	T					
30. -Vanguard Institutional Fund,									
31. -Vanguard Growth Fund									
32. -Black Rock Bond Fund									
33. State of Tx. Judicial Retirement Equity	B	Interest	L	T					
34. Texas County & District Retirement System	A	Interest	J	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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35. TRP Small Cap. Value	A	Dividend	J	T					
36. Thompson Knight 401K (see note at VIII)	D	Dividend	P1	T					
37. -Vanguard Wellington Fund									
38. -Vanguard Institutional Fund									
39. -Stable Value Fund									
40. -Vanguard Target Retirement (rolled over from Fidelity Freedom K 2025)									
41. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/02/14	J		
42. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/02/14	J		
43. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/02/14	J		
44. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/02/14	J		
45. TRP Spectrum Growth (IRA)	B	Dividend	K	T	Redeemed (part)	06/02/14	J		
46. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/02/14	J		
47. TRP Summit Cash (IRA)	A	Interest	M	T	Redeemed (part)	06/02/14	J		
48. US i Savings Bond	A	Interest	J	T					
49. Chase Bank Account checking (see note at Section VIII)		None	M	T					
50. PEBCX (IRA)	A	Dividend	K	T					
51. PCRCX (IRA) (see note at VIII)		None	K	T					

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52. PCRAX (IRA) (see note at VIII)		None	J	T					
53. Amegy Bank - CD	A	Interest	M	T					
54. Citibank Account, CD	A	Interest	N	T					
55. Capital One Bank Account	A	Interest	M	T					
56. Vanguard Inf. Protec. Securities	B	Dividend	M	T	Open	02/07/14	L		

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

I. Line 1: This disclosure does not seem required by the rules but is made for informational purposes.

Line 2: I am also Vice Chair of the Appellate Judges Conference of the Judicial Division of the American Bar Association correlative with my AJEI status. However, this disclosure does not seem required by the rules and is listed for informational purposes.

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

VII. Line 2: No dividend or distribution was declared or paid in 2014.

Line 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 his compensation.

Line 49: This is a non-interest bearing checking account reported for informational purposes.

Lines 51-52: These commodity investment funds did not make a distribution or pay any dividend in 2014.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544