

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 4/27/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.	Director	Vickery Meadow Learning Center (term ended June 30, 2011)
2.	Board Member	Appellate Judges Education Institute (term began August 7, 2011)
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

4/27/2012

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2011

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

4/27/2012

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

4/27/2012

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	D	Interest	P1	T					
2. Janus Money Fund		None	J	T					
3. T. Rowe Price (TRP) Prime Reserve Fund	A	Interest	O	T					
4. TRP New Income	A	Dividend	K	T	Buy	10/17/11	J		
5. TRP International Stock	B	Dividend	M	T	Buy	10/17/11	J		
6. TRP New America Growth	C	Dividend	M	T					
7. TRP Health Science Fund	D	Dividend	N	T	Buy	10/17/11	J		
8. TRP Tax Efficient Equity	A	Dividend	M	T					
9. TRP Tax Free Income	E	Dividend	O	T	Buy	11/01/11	J		
10. TRP Tax Free Short Intermediate	A	Dividend	K	T					
11. IBM	B	Dividend	L	T					
12. Motorola (MOT) (see explanation in section VIII)		None			Closed	01/07/11	J		
13. Motorola Solutions Inc. (MSI)	A	Dividend	J	T	Spinoff (from line 12)	01/07/11	J		
14. Motorola Mobility Holdings Inc. (MMI)		None	J	T	Spinoff (from line 12)	01/07/11	J		
15. Franklin Mutual Shares Class Z	D	Dividend	N	T	Buy	10/17/11	J		
16. Janus Fund	B	Dividend	N	T	Buy	10/17/11	J		
17. TRP Capital Appreciation	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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☐ 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 I (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. TRP Equity Income Fund	B	Dividend	L	T	Redeemed (part)	06/01/11	J		
19. Vanguard REIT Fund	D	Dividend	M	T	Buy	05/17/11	J		
20.					Buy (add'l)	10/17/11	J		
21. Vanguard 500 Index Fund	D	Dividend	N	T					
22. Vanguard TM Small Cap	B	Dividend	M	T					
23. US EE Savings Bond	C	Dividend	L	T					
24. TRP Retirement 2020 (IRA)	A	Dividend	K	T					
25. TRP Retirement 2030 (IRA)	C	Dividend	N	T					
26. Thompson Knight Partnership Equity		None	L	U	Buy	12/31/11	J		
27. TX Emp. Ret. Plan	A	Dividend	M	T					
28. -Vanguard Institutional Fund,									
29. -Vanguard Growth Fund									
30. -Black Rock Bond Fund									
31. State of Tx. Judicial Retirement Equity	C	Interest	L	T					
32. Texas County & District Retirement System	A	Interest	J	T					
33. TRP Small Cap. Value	A	Dividend	J	T					
34. Thompson Knight 401K (see note at VIII)	D	Dividend	P1	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. -Vanguard Wellington Fund									
36. -Vanguard Institutional Fund									
37. -Stable Value Fund									
38. -Fidelity Freedom K 2025									
39. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/11	J		
40. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/11	J		
41. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/11	J		
42. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/11	J		
43. TRP Spectrum Growth (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/11	J		
44. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/11	J		
45. TRP Summit Cash (IRA)	A	Interest	N	T	Redeemed (part)	06/01/11	J		
46. US i Savings Bond	A	Interest	J	T					
47. Chase Bank Account checking		None	M	T					
48. PEBXCX (IRA)	A	Dividend	K	T					
49. PCRCX (IRA)	C	Dividend	K	T					
50. PCRAX (IRA)	A	Dividend	J	T					
51. Amegy Bank - CD	A	Interest	M	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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Date of Report

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52. Citibank Account, CD	A	Interest	M	T					
53. Capital One Bank Account	A	Interest	M	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
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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting	Date of Report
Haynes, Catharina D.	4/27/2012

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. Line 12: Motorola stock was spun off into MSI and MMI on January 7, 2011.

Line 34: [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.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Haynes, Catharina D.

Date of Report

4/27/2012

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