

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 04/15/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address 1100 Commerce Street Rm. 1452 Dallas, TX75242		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Advisory Board Member	Emory University School of Law Alumni Advisory Board (term began in the Fall of 2012)(see note in Section VIII)
2. Board Member	Appellate Judges Education Institute
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.)*

<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. 2012	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. American Bar Association	Feb. 2-6, 2012	New Orleans, La.	ABA Mid-Year Appellate Judges Conference Exec. Meeting	lodging
2. American Bar Association	Apr. 19-21, 2012	Washington, D.C.	Speaker at Litigation Section CLE	transportation, lodging, meals
3. Emory University School of Law (see note in Sect. VIII)	Oct. 5-6, 2012	Atlanta, GA	Judging Moot Court Competition	lodging, transportation, meals
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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	C	Interest	P1	T					
2. Janus Money Fund	A	Interest	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	B	Dividend	M	T	Buy	5/15/12	J		
6.					Buy (add'l)	9/15/12	J		
7. TRP New America Growth	A	Dividend	M	T					
8. TRP Health Science Fund	E	Dividend	N	T	Buy	5/15/12	J		
9.					Buy (add'l)	9/15/12	J		
10. TRP Tax Efficient Equity	A	Dividend	M	T	Buy	5/15/12	J		
11. TRP Tax Free Income	E	Dividend	P1	T	Buy	1/10/12	K		
12. TRP Tax Free Short Intermediate	A	Dividend	K	T					
13. IBM	B	Dividend	L	T					
14. Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
15. Motorola Mobility Holdings Inc. (MMI) (see Section VIII)		None			Redeemed	5/22/12	J	B	
16. Franklin Mutual Shares Class Z	D	Dividend	O	T	Buy	5/17/12	J		
17. Janus Fund	C	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 –\$250,001 - \$500,000,000	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 \$5,000,000,000	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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☐ 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 Capital Appreciation	B	Dividend	K	T	Buy	3/23/12	K		
19. TRP Equity Income Fund	C	Dividend	M	T	Redeemed (part)	06/01/12	J		
20.					Buy	1/10/12	J		
21. Vanguard REIT Fund	D	Dividend	N	T	Buy	05/16/12	J		
22.					Buy (add'l)	9/4/12	K		
23.					Buy (add'l)	10/19/12	J		
24. Vanguard 500 Index Fund	D	Dividend	N	T	Buy	9/4/12	J		
25. Vanguard TM Small Cap	C	Dividend	M	T	Buy	9/4/12	J		
26. US EE Savings Bond	C	Dividend	L	T					
27. TRP Retirement 2020 (IRA)	A	Dividend	K	T					
28. TRP Retirement 2030 (IRA)	C	Dividend	N	T					
29. Thompson Knight Partnership Equity		None	L	U	Buy	12/31/12	J		
30. TX Emp. Ret. Plan	A	Dividend	M	T					
31. -Vanguard Institutional Fund,									
32. -Vanguard Growth Fund									
33. -Black Rock Bond Fund									
34. State of Tx. Judicial Retirement Equity	C	Interest	L	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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35. Texas County & District Retirement System	A	Interest	J	T					
36. TRP Small Cap. Value	A	Dividend	J	T					
37. Thompson Knight 401K (see note at VIII)	D	Dividend	P1	T					
38. -Vanguard Wellington Fund									
39. -Vanguard Institutional Fund									
40. -Stable Value Fund									
41. -Fidelity Freedom K 2025									
42. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/12	J		
43. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	03/23/12	J		
44.					Redeemed (part)	06/01/12	J		
45. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/12	J		
46. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/12	J		
47. TRP Spectrum Growth (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/12	J		
48. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/12	J		
49. TRP Summit Cash (IRA)	A	Interest	M	T	Redeemed (part)	03/23/12	J		
50.					Redeemed (part)	06/01/12	J		
51. US i Savings Bond	A	Interest	J	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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52. Chase Bank Account checking (see note at Section VIII)		None	M	T					
53. PEBXCX (IRA)	A	Dividend	K	T					
54. PCRCX (IRA)	A	Dividend	K	T					
55. PCRAX (IRA)	A	Dividend	J	T					
56. Amegy Bank - CD	A	Interest	M	T					
57. Citibank Account, CD	A	Interest	M	T					
58. Capital One Bank Account	A	Interest	M	T					

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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.

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

IV. Line 3: Emory directly paid for the hotel and meal expenses. The reimbursement for transportation expenses was not actually received until 2013, but is included in the total here because it was incurred and promised in 2012.

VII. Line 15: On May 12, 2012, MMI merged with Google, and existing MMI shares were cashed out as follows: cash was paid in return for the shares of MMI.

Thus, [REDACTED] no longer has an interest in this entity and did not obtain an interest in Google. In an abundance of caution, the entire cashout was recorded as a gain from sale of stock.

Line 37: [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. His firm also contributes to this fund as part of his compensation.

Line 52: This is a non-interest bearing checking account reported for informational purposes.

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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