

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) Hale, Harlin D.	2. Court or Organization Bankruptcy Court - NDTX	3. Date of Report 06/12/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy 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 United States Bankruptcy Court 1100 Commerce Street - #1254 Dallas, Texas 75242-1496		
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. Board of Advisors	George W. & Jean H. Pugh Institute
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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. 04/30/2012	Southern Methodist University (teaching)	\$15,000.00
2. 12/21/2012	Southern Methodist University (teaching)	\$7,500.00
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	Dallas Independent School District
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. TX State Bar - Bankruptcy Section	02/03/2012	Austin, TX	Section Council Meeting	Transportation, food
2. Center for American and International Law	02/22-25//2012	New Orleans, LA	Fifth Circuit Bench/Bar - Speaker	Transportation, food, lodging
3. National Conference of Bankruptcy Judges	03/19-20//2012	Miami, FL	Board Meeting	Transportation, food, lodging
4. Federal Judicial Center	03/26-29/2012	Charleston, SC	National Workshop for Bankruptcy Judges	Transportation, food, lodging
5. TX State Bar - Bankruptcy Section	04/13/2012	Austin, TX	Bankruptcy Seminar - Speaker	Transportation, food

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

6.	United States Courts	05/6-9/2012	Santa Fe, NM	Fifth Circuit Conference	Transportation, food, lodging
7.	TX State Bar - Bankruptcy Section	06/14-15/2012	Austin, TX	State Bar Meeting/Seminar - Speaker	Transportation, food, lodging
8.	University of Texas School of Law	08/8-10/2012	Galveston, TX	Bankruptcy Seminar - Speaker	Transportation, food, lodging
9.	State Bar of Texas	09/13-14/2012	Houston, TX	Bankruptcy Seminar - Speaker	Transportation, food, lodging
10.	Federal Bar Association	09/20-22/2012	San Diego, CA	Annual Meeting - Speaker	Transportation, food, lodging
11.	National Conference of Bankruptcy Judges	10/23-26/2012	San Diego, CA	Annual Meeting - Board Member	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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. Cross Keys Bank	A	Interest	J	T					
2. Cross Keys Bank Stock	B	Dividend	K	T	Buy (add'l)	12/15/12	J		Deborah Wilson
3. Blue Cross FCU account	B	Interest	K	T					
4. Belt West Ltd. Partnership		None	J	U					
5. STERLING TRUST IRA (H)									
6. - Southwest Airlines		None			Sold	12/31/12	J	A	
7. -Exxon Mobil	B	Dividend			Sold	12/31/12	J	B	
8. Edward Jones IRA (H) (changed brokerage from Sterling Trust)									
9. - Home & Hearth Ltd. P'Ship		None	J	T					
10. - Miller Co. Ltd. P'Ship	A	Distribution	K	T					
11. - CAPITAL INCOME BUILDER FUND A		None	J	T	Buy	12/31/12	J		
12. - FUNDAMENTAL INVESTORS FUND A		None	J	T	Buy	12/31/12	J		
13. - GROWTH FUND OF AMERICA CL A		None	J	T	Buy	12/31/12	J		
14. - INCOME FUND OF AMERICA FUND A		None	J	T	Buy	12/31/12	J		
15. - NEW ECONOMY FUND CL A		None	J	T	Buy	12/31/12	J		
16. - NEW PERSPECTIVE FUND CL A		None	J	T	Buy	12/31/12	J		
17. - WASHINGTON MUTUAL INVS FD CL A		None	J	T	Buy	12/31/12	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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)

18. Bank of America	A	Interest	J	T					
19. Wells Fargo	A	Interest	J	T					
20. EQUITABLE IRA (H)		None	M	T					
21. - EQ/Core Bond Index									
22. - EQ/Marsico Focus									
23. - EQ/BlackRock Intl Val									
24. - EQ/PIMCO Real Return									
25. - EQ/Van Kampen Comstock									
26. - EQ/Evergreen Intl Bond									
27. - EQ/Davis NY Venture									
28. - EQ/Franklin Income									
29. EDWARD JONES	B	Dividend	L	T					
30. Edward Jones Cap World Growth & Income Fund CLA	A	Dividend	K	T					
31. Edward Jones Tax Exempt Bond Fund Amer CLA	B	Dividend	K	T					
32. Exxon Mobil	B	Dividend	L	T					
33. Texas Federal Credit Union (Name corrected from 2011)	B	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 \$5,000,000	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 7 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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

Part VII, Page 7, Lines 5-17 - In 2012, [REDACTED] transferred our IRAs from Sterling Trust to Edward Jones. We were required to sell our stock in Southwest Airlines and Exxon Mobil and then used the funds to purchase the various funds on lines 11-17. The interest in Home & Hearth Ltd. Partnership and Miller Co. Ltd. P'Ship on lines 9 and 10 were transferred to Edward Jones and currently have nominal value.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Hale, Harlin D.

Date of Report

06/12/2013

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/ **Harlin D. Hale**

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