

**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) HEARTFIELD, THAD	2. Court or Organization U.S.D.C. (TEXAS EASTERN)	3. Date of Report 05/02/2012
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
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. Insert signature on last page.</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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Western National Life Ins. Co.	A	Interest	J	T					
2. Western National Life Ins. Co.	A	Interest	J	T					
3. Wells Fargo, Checking	E	Interest	K	T					
4. Wells Fargo, Checking	A	Interest	K	T					
5. Wells Fargo, Checking	A	Interest	J	T					
6. Enerrvest Operating LLC	A	Royalty	J	T					
7. Three Forks Resources	A	Royalty	J	T					
8. Enterprise Crude Oil LLC	A	Royalty	J	T					
9. US Saving Bonds (X)	E	Interest	K	T	Redeemed (part)	07/11/11	K		
10. UBS RMA	A	Interest	L	T					
11. UBS IRA #1 Money Market	A	Interest	K	T					
12. Oppenheimer Strategic Income	D	Dividend	L	T					
13. Federated Bond Fund	D	Dividend	M	T					
14. Pimco Total Return Fund	B	Dividend	J	T	Sold (part)	05/03/11	M	D	
15. Bond Fund of America	B	Dividend	J	T	Sold (part)	05/03/11	L	A	
16. Providian Nat'l CD 6.10 3/7/11	A	Interest			Sold	3/7/11	K	A	
17. HTF American Growth Fund		None	L	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		

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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. HTF American Growth & Income		None	K	T					
19. HTF American Global Growth		None	L	T					
20. HTF Franklin Mutual Shares		None	K	T					
21. American Funds High Income	D	Dividend	M	T	Buy	05/03/11	L		
22. Merrill Lynch Note 5.0 1/15/15	A	Interest	K	T					
23. Doral Bank Catano PR 2.80 7/9/12	A	Interest	K	T					
24. CIT Bk Salt Lk 3.25 7/8/13	A	Interest	K	T					
25. Goldman Sachs Bk 3.50 2/4/14	A	Interest	K	T					
26. Goldman Sachs Bk 3.75 2/4/16	A	Interest	K	T					
27. I Shares I Boxx Inv Grade Fund	A	Interest			Sold	05/03/11	K	C	
28. I Shares Barclays 1-3 yr Treasury Fund	A	Interest			Sold	05/03/11	K	A	
29. I Shares Barclays Aggregate Bond Fund	A	Interest			Sold	05/03/11	L	B	
30. I Shares Barclays TIPS Bond Fund	C	Interest	L	T					
31. I Shares Barclays 3-7 yr Treasury Fund	A	Interest			Sold	05/03/11	K	A	
32. Franklin Templeton Global Bond Fund	B	Dividend	K	T	Buy	05/03/11	L		
33. Lord Abbett Short Duration Income Fund	A	Dividend	K	T	Buy	05/03/11	L		
34. Pimco Low Duration Fund	B	Dividend	M	T	Buy	05/03/11	M		

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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	

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35. Pioneer Strategic Income Fund	B	Dividend	K	T	Buy	05/03/11	L		
36. Uhts AAM NAV. DIAL High Income	A	Interest	K	T	Buy	11/9/11	K		
37. Jackson National Var Annuity		None	M	T	Buy	5/6/11	M		
38. SPDR S&P Dividend ETF	A	Dividend			Buy	8/10/11	K		
39. SPDR S&P Dividend ETF	A	Dividend			Sold	11/04/11	K	B	
40. UBS IRA #2 Money Market	A	Interest	J	T					
41. HTF American Growth & Income		None	K	T					
42. HTF American Growth		None	K	T					
43. HTF American Global Growth		None	K	T					
44. HTF Franklin Mutual Shares		None	K	T					
45. Spring TX ISD 4.4 8/15/11	B	Interest			Redeemed	08/15/11	K	A	
46. San Antonio TX Water Rev 5.0 5/15/13	A	Interest			Redeemed	05/16/11	K	A	
47. San Antonio TX Electric & Gas 5.25 2/1/11	A	Interest			Redeemed	02/01/11	K	A	
48. Merrill Lynch Bank Deposit Program	A	Interest	M	T					
49. Nuveen Ins. Premium Income Fund 2	B	Dividend	K	T					
50. Nuveen Ins. Quality Muni-Fund	B	Dividend	K	T					
51. Nuveen Ins. Muni Opportunity Fund	B	Dividend	K	T					

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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. Weslaco TX ISD 4.5 2/15/25	B	Interest	K	T					
53. Harlandale TX ISD 4.75 8/15/36	C	Interest	L	T					
54. Texas State Water Fin'l Assist. 5.0 8/1/18	A	Interest	K	T					
55. Univ North TX Fing System 5.0 4/15/24	A	Interest	K	T					
56. Houston TX Water Cont. RV 5.5 3/1/12	B	Interest	K	T					
57. TX Water Dev. Board Rev. 5.0 7/15/21	C	Interest	M	T					
58. TX Tech Univ Revs. 5.0 8/15/25	B	Interest	K	T					
59. San Antonio TX Elec/Gas Rev. 5.25 2/1/14	B	Interest	K	T					
60.									
61.									

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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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