AO 10
Rev. 1/2013

# 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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Haynes, Catharina D. | Fifth Circuit | 04/15/2013 |

| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) | 5a. Report Type (check appropriate type) | 6. Reporting Period |
|---|---|---|
| Active Circuit Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>5b. ☐ Amended Report | 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. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Haynes, Catharina D. | 04/15/2013 |

## 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.)*

| | 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. | 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 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. | | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Haynes, Catharina D. | 04/15/2013 |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Haynes, Catharina D. | 04/15/2013 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Place "(X)" after each asset exempt from prior disclosure | (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 | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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| Haynes, Catharina D. | 04/15/2013 |

## 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)<br>Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (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 | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| Haynes, Catharina D. | 04/15/2013 |

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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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|---|
| 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 | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 | |
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| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 52. Chase Bank Account checking (see note at Section VIII) | | None | M | T | | | | | |
| 53. PEBCX (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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| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal<br>U =Book Value | R =Cost (Real Estate Only)<br>V =Other | S =Assessment<br>W =Estimated | T =Cash Market | |

**FINANCIAL DISCLOSURE REPORT**


| Name of Person Reporting | Date of Report |
| --- | --- |
| Haynes, Catharina D. | 04/15/2013 |

## 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 eitiher 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.

| Name of Person Reporting | Date of Report |
| --- | --- |
| Haynes, Catharina D. | 04/15/2013 |

# 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/ 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