AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016

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** 04/20/2017
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** 01/01/2016 to 12/31/2016

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 (see note in Section VIII)
2.	Board Member, Vice-Chair	Appellate Judges Education Institute (see note in Section VIII)
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.		

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.	2016	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 Judicial Division/Appellate Judges Conf.	2/5-8/2016	San Diego, CA	Board Meeting of Appellate Judges Conference, part. in Judicial Div. & related act.	hotel, parking
2.	DRI	2/11-12/2016	Phoenix, AZ	Speaking/Presenting at a continuing legal education seminar	hotel, airfare, meals, ground transp., and parking
3.	College of Labor & Employment	3/19/2016	New Orleans, LA	Speaking at a continuing legal education seminar	airfare, meal, ground transp. and parking
4.	American Bar Association Judicial Division	4/14-16/2016	Cincinnati, OH	Attending Leadership Meeting of the Judicial Division	airfare, hotel, meals and ground transp.

5.	American Bar Assoc. Tort & Ins. Section	5/11-12/2016	Atlanta, GA	Speaking at continuing legal education seminar	airfare, hotel, meal, cabs
6.	American Bar Association Judicial Division Appellate Judges Conference	8/4-6/2016	San Francisco, CA	Attending JD and AJC board and leadership-related meetings	per diem towards travel expenses and hotel
7.	American Bar Association Judicial Division Appellate Judges Conference	9/21-23/2016	Chicago, IL	Attending ABA Section Officers Conference Leadership Meeting	hotel and airfare

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.	04/20/2017

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	A	Interest	P1	T					
2. Janus Money Fund	A	Interest	J	T					
3. TRP Government Money Fund f/k/a T.Rowe Price (TRP) Prime Reserve Fund	A	Interest	O	T					
4. TRP New Income	A	Dividend	K	T					
5. TRP International Stock	D	Dividend	N	T	Buy	02/01/16	J		
6. TRP New America Growth	E	Dividend	N	T	Buy	02/01/16	J		
7. TRP Health Science Fund	E	Dividend	O	T	Buy	02/01/16	J		
8.					Buy (add'l)	07/01/16	J		
9. TRP Tax Efficient Equity	A	Dividend	N	T	Buy	02/01/16	J		
10.					Buy (add'l)	07/01/16	J		
11. TRP Tax Free Income	E	Dividend	P1	T					
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. Franklin Mutual Shares Class Z	F	Dividend	O	T	Buy	01/26/16	K		
16. Janus Fund	E	Dividend	N	T					
17. TRP Capital Appreciation	C	Dividend	M	T	Buy	02/01/16	J		

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		

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)
18.					Buy (add'l)	07/01/16	J		
19. TRP Equity Income Fund	E	Dividend	M	T	Redeemed (part)	06/01/16	J		
20. Vanguard REIT Fund	E	Dividend	O	T	Buy	02/19/16	K		
21. Vanguard 500 Index Fund	E	Dividend	O	T	Buy	02/19/16	K		
22.					Buy (add'l)	07/01/16	K		
23. Vanguard TM Small Cap	D	Dividend	O	T	Buy	02/19/16	K		
24.					Buy (add'l)	07/05/16	K		
25. US EE Savings Bond	C	Dividend	L	T					
26. TRP Retirement 2020 (IRA)	B	Dividend	K	T					
27. TRP Retirement 2030 (IRA)	E	Dividend	N	T					
28. Thompson Knight Partnership Equity		None	M	U					
29. TX Emp. Ret. Plan (H)									
30. -Vanguard Institutional Fund,	A	Dividend	J	T					
31. -Vanguard Growth Fund	B	Dividend	M	T					
32. -Black Rock Bond Fund		None	L	T					
33. State of Tx. Judicial Retirement Equity	B	Interest	L	T					
34. Texas County & District Retirement System	A	Interest	J	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	
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Name of Person Reporting	Date of Report
Haynes, Catharina D.	04/20/2017

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35. TRP Small Cap. Value	B	Dividend	K	T	Buy	02/01/16	J		
36. Thompson Knight 401K (H)(see note at VIII)									
37. -Vanguard Wellington Fund	D	Dividend	M	T					
38. -Vanguard Institutional Fund	E	Dividend	O	T					
39. -Stable Value Fund		None	O	T					
40. -Vanguard Target Retirement 2025	B	Dividend	L	T					
41. TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/16	J		
42. TRP Global Stock (IRA)	A	Dividend	K	T	Redeemed (part)	06/01/16	J		
43. TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/16	J		
44. TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/16	J		
45. TRP Spectrum Growth (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/16	J		
46. TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/16	J		
47. TRP Summit Cash (IRA)	A	Interest			Redeemed (part)	06/01/16	J		
48.					Closed	08/12/16	M		
49. US i Savings Bond	A	Interest	J	T					
50. Chase Bank Account checking (see note at Section VIII)		None	N	T					
51. PEBCX (IRA)	A	Dividend	K	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	

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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52. PCRCX (IRA) (see note at VIII)		None	K	T					
53. PCRAX (IRA)	A	Dividend	J	T					
54. Amegy Bank - CD	A	Interest	M	T					
55. BB&T Account, CD	A	Interest	N	T					
56. Capital One Bank Account	A	Interest	M	T					
57. TRP US Treasury Money (IRA)	A	Interest	M	T	Spinoff (from line 48)	08/12/16	M		
58. Vanguard Inf. Protec. Securities	B	Dividend	M	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
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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		

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.

Line 2: I was a Board Member until my elevation to Vice Chair in August of 2016. I also served as Chair-Elect of the Appellate Judges Conference of the Judicial Division of the American Bar Assocation before being elevated to Chair in August of 2016, correlative with my AJEI status. However, this disclosure does not seem required by the rules and is listed for informational purposes.

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

VII. Line 3: The name of this account was changed from TRP Prime Reserve Fund to TRP Government Money Fund during 2016, still managed by the same entity, T. Rowe Price (TRP).

Lines 32, 39 and 52: No dividend or distribution was declared or paid in 2016.

Lines 36-40: My spouse 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.

Lines 48 & 57: The TRP Summit Cash Account was closed in August and spun off to the TRP Treasury Money Fund.

Line 50: This is a non-interest bearing checking account reported for informational purposes.

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