AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018

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	05/09/2019
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**: 01/01/2018 to 12/31/2018
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 (ended June 2018)	Emory University School of Law Alumni Advisory Board (see note in Section VIII)
2.	Chair (ended August 2018)	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.	2018	Thompson & Knight Law Partnership Income
2.	Jan. 2018	UNT Law School Adjunct Professor (Fall 2017; paid in part Jan. 2018)
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.	4/19-20/2018	Chicago, IL	Board Meeting of Appellate Judges Conference, part. in Judicial Div. & related act.	partial: airfare, hotel, parking
2.	American Bar Association Judicial Division Appellate Judges Conference	8/2-3/2018	Chicago, IL	Attending JD and AJC board and leadership-related meetings	per diem towards travel expenses and hotel
3.					
4.					
5.					

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.			

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	B	Interest	P1	T					
2.	Janus Henderson Fund f/k/a Janus Money Fund	A	Interest	J	T					
3.	TRP Government Money Fund	D	Interest	O	T					
4.	TRP New Income	A	Dividend	K	T					
5.	TRP International Stock	E	Dividend	N	T					
6.	TRP New America Growth	E	Dividend	N	T					
7.	TRP Health Science Fund	F	Dividend	P1	T	Buy	04/11/18	J		
8.	TRP Tax Efficient Equity	D	Dividend	O	T	Buy	04/11/18	J		
9.	TRP Tax Free Income	E	Dividend	P1	T	Buy	04/11/18	J		
10.	TRP Tax Free Short Intermediate	A	Dividend	K	T					
11.	IBM	B	Dividend	K	T					
12.	Motorola Solutions Inc. (MSI)	A	Dividend	J	T					
13.	Franklin Mutual Shares Class Z	F	Dividend	O	T	Buy	04/12/18	J		
14.	Janus Henderson Research Fund D Shares f/k/a Janus Fund	F	Dividend	O	T	Buy	04/13/18	J		
15.	TRP Capital Appreciation	D	Dividend	M	T					
16.	TRP Equity Income Fund	E	Dividend	N	T	Redeemed (part)	06/01/18	J		
17.						Buy	04/11/18	J		

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		

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.	Vanguard REIT Fund	E	Dividend	O	T	Buy	04/16/18	J		
19.	Vanguard 500 Index Fund	E	Dividend	O	T					
20.	Vanguard TM Small Cap	D	Dividend	O	T	Buy	04/16/18	J		
21.	US EE Savings Bond	C	Dividend	L	T					
22.	TRP Retirement 2020 (IRA)	C	Dividend	L	T					
23.	TRP Retirement 2030 (IRA)	E	Dividend	O	T					
24.	Thompson Knight Partnership Equity		None	M	U					
25.	TX Emp. Ret. Plan (H)									
26.	-Vanguard Institutional Fund,	A	Dividend	K	T					
27.	-Vanguard Growth Fund	B	Dividend	M	T					
28.	-Black Rock Bond Fund		None	L	T					
29.	State of Tx. Judicial Retirement Equity	B	Interest	L	T					
30.	Texas County & District Retirement System	A	Interest	J	T					
31.	TRP Small Cap. Value	C	Dividend	K	T					
32.	Thompson Knight 401K (H)(see note at VIII)									
33.	-Vanguard Wellington Fund	D	Dividend	M	T					
34.	-Vanguard Institutional Fund	E	Dividend	P1	T					

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35.	-Stable Value Fund		None	O	T					
36.	-Vanguard Target Retirement 2025	C	Dividend	M	T					
37.	TRP Financial Services (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/18	J		
38.	TRP Global Stock (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/18	J		
39.	TRP Media Telecommunications (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/18	J		
40.	TRP New Era (IRA)	A	Dividend	J	T	Redeemed (part)	06/01/18	J		
41.	TRP Spectrum Growth (IRA)	C	Dividend	K	T	Redeemed (part)	06/01/18	J		
42.	TRP Spectrum Income (IRA)	B	Dividend	K	T	Redeemed (part)	06/01/18	J		
43.	US i Savings Bond	A	Interest	J	T					
44.	Chase Bank Account checking (see note at Section VIII)		None	N	T					
45.	PCRAX (IRA)	A	Dividend	J	T					
46.	BB&T Account	A	Interest	L	T					
47.	Capital One Bank Account	D	Interest	O	T					
48.	TRP US Treasury Money (IRA)	C	Interest	M	T	Redeemed (part)	06/01/18	J		
49.	Vanguard Inf. Protec. Securities	C	Dividend	M	T					
50.	PAEMX (IRA)	A	Dividend	K	T					
51.	Oil&Gas Reeves Cty TX: Centennial Res. Prod. LLC (see note at VIII)	B	Rent	J	W					

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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.
Line 2: I was Chair until August 2018 . I also served as Immediate Past Chair of the Appellate Judges Conference of the Judicial Division of the American Bar Assocation until August of 2018, 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. Lines 28 and 35: No dividend or distribution was declared or paid in 2018.
Lines 32-36: 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.
Line 44: This is a non-interest bearing checking account reported for informational purposes.
Line 51: My husband has a joint, shared mineral interest inherited through family in 1/3 acre in Reeves County, Texas, which, until 2018 produced no income. In 2018, it was leased to Centennial Resource Production, LLC of Denver.

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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