AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Heaton, Joe L. | District Court - Western District of Oklahoma | 05/15/2024 |
| **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** |
| United States District Judge - Senior Status | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| United States Courthouse<br>200 NW 4th Street, Room 2301<br>Oklahoma City, OK 73102 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Co-Trustee | Trust #1 |
| 2. | Co-Trustee | Trust #2 |
| 3. | Director | Federal Judges Association |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | Monthly | Okla. Public Employees Retirement System - Vested pension | $869.00 |
| 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 |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Federal Judges Assoc. | 04/12/2023 - 04/14/2023 | Denver, CO | Board of Dir Meeting. | Travel/lodging |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Heaton, Joe L.** | 05/15/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (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) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | Duke Energy common stock | C | Dividend | L | T | | | | | |
| 2. | Enbridge Inc. (formerly Spectra Energy) common stock | B | Dividend | K | T | | | | | |
| 3. | Xcel Energy common stock | C | Dividend | L | T | | | | | |
| 4. | Oil & gas working interest | A | Royalty | J | V | | | | | |
| 5. | Morgan Stanley Bank Deposit Program | A | Interest | L | T | | | | | |
| 6. | Investment Company of America | D | Dividend | N | T | | | | | |
| 7. | Europacific Growth Fund | B | Dividend | L | T | | | | | |
| 8. | Bank of Oklahoma accounts | A | Interest | L | T | | | | | |
| 9. | 323 East Mosier Ltd Partnership ltd. part. interest | C | Dividend | N | U | | | | | |
| 10. | Masterpiece Properties LP - ltd. part. interest | B | Rent | M | U | | | | | |
| 11. | Meadowood II LP ltd. part. int. real est. dev. Cleveland, OK | A | Rent | M | U | Buy (add'l) | 07/13/23 | K | | |
| 12. | Hollywood Shopping Center LLC, Norman, OK | B | Rent | J | U | | | | | |
| 13. | West Oaks Rentals, ltd. part. Norman, OK office bldg. | A | Rent | J | U | | | | | |
| 14. | Norman Construction & Paving common stock | | None | J | T | | | | | |
| 15. | DDB Limited Partnership, ltd. part. interest | E | Rent | O | U | | | | | |
| 16. | Growth Fund of America | E | Dividend | M | T | | | | | |
| 17. | Voya Ins. Co. | A | Dividend | 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; U =Book Value; V =Other; W =Estimated

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☐ 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 (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) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. Int.Growth & Income Fund | A | Dividend | K | T | | | | | |
| 19. Small Cap World Fund | A | Dividend | K | T | | | | | |
| 20. Mineral interest - Harper Co., Okla. | A | Royalty | J | V | | | | | |
| 21. Executive Producers LP, ltd. part. int. | F | Rent | O | U | | | | | |
| 22. Tax Exempt Bond Fund A | B | Interest | M | T | | | | | |
| 23. Individual Retirement Account #1 (H) | | | | | | | | | |
| 24. - Amcap Fund | C | Dividend | M | T | | | | | |
| 25. - Investment Company of America | E | Dividend | O | T | | | | | |
| 26. - Morgan Stanley cash account | A | Interest | J | T | | | | | |
| 27. - Growth Fund of America | D | Dividend | M | T | | | | | |
| 28. - EuroPacific Growth Fund | B | Dividend | K | T | | | | | |
| 29. International Growth and Income Fund | A | Dividend | | | | | | | |
| 30. Bond Fund of America A | A | Interest | M | T | | | | | |
| 31. Short Term Bond Fund A | A | Interest | M | T | | | | | |
| 32. Individual Retirement Account #2 (H) | | | | | | | | | |
| 33. - Amcap Fund | A | Dividend | M | T | | | | | |
| 34. - Investment Company of America | D | Dividend | N | T | Sold (part) | 03/29/23 | J | D | |

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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
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|---|---|---|---|---|---|---|---|---|---|
| 35. -Morgan Stanley cash account | A | Interest | J | T | | | | | |
| 36. - Growth Fund of America | C | Dividend | M | T | | | | | |
| 37. - EuroPacific Growth Fund | A | Dividend | K | T | Sold (part) | 12/29/23 | K | D | |
| 38. - International Growth & Income Fund | A | Dividend | K | T | Sold | 03/29/23 | K | D | |
| 39. Bond Fund of America A | A | Interest | L | T | | | | | |
| 40. Short Term Bond Fund A | A | Interest | L | T | | | | | |
| 41. [Supplemental entries] | | | | | | | | | |
| 42. Alligence Credit Union account | A | Interest | K | T | | | | | |
| 43. U.S. Gov't I-bonds | A | None | K | T | | | | | |
| 44. DABH LLC | A | None | J | U | | | | | |
| 45. | | | | | | | | | |
| 46. | | | | | | | | | |
| 47. | | | | | | | | | |
| 48. | | | | | | | | | |
| 49. | | | | | | | | | |
| 50. | | | | | | | | | |
| 51. | | | | | | | | | |

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|---|---|---|---|---|---|---|---|---|---|
| 52. | | | | | | | | | |
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| 64. | | | | | | | | | |
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| 66. | | | | | | | | | |
| 67. | | | | | | | | | |
| 68. | | | | | | | | | |

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|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 69. | | | | | | | | | |
| 70. | | | | | | | | | |
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| 81. | | | | | | | | | |

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

1. The value of the oil and gas working interest identified in Part VII, line 4, is based on average monthly income during the period x36 months. The wells are located in Oklahoma (Folmar) and McClain (Lewis 1-11 and Mooney) Counties, Oklahoma. The Harper County mineral interest in line 20 is valued the same way.

2. The limited partnership interests indentified in Part VII, lines 10, 11, 12, 15, and 21 also had interest or dividend income in addition to rental income (per K-1). The properties generating rental income are in Cleveland County, OK.

3. Trust I and Trust 2 referenced in Part I (positions) are revocable trusts created by filer and spouse in prior year, with filer and spouse being co-trustees and beneficiaries of each trust. Assets owned are fully reflected in entries 1-22 and have not changed from prior reports except as indicated (value changes, etc.). The entries shown at lines 42, 43, and 44 are held by Trusts 1 or 2, but shown here as "supplemental entries" to avoid re-numbering of other assests. DABH LLC (entry 44) was formed to hold a directly held fractional interest in the property owned by Meadowood II LLP (entry 11).

4. All mutual funds are part of American Funds family.

| Name of Person Reporting | Date of Report |
|---|---|
| **Heaton, Joe L.** | 05/15/2024 |

## 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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.**

**Signature: s/ Joe L. Heaton**

**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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544