

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) KING, CAROLYN D.	2. Court or Organization U.S. COURT OF APPEALS 5TH CIR.	3. Date of Report 04/23/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. RESEARCH FELLOW	THE CENTER FOR AMERICAN AND INTERNATIONAL LAW
2. MEMBER OF COUNCIL (UNTIL 5/22/13, MEMBER EXECUTIVE COMMITTEE & TREASURER)	AMERICAN LAW INSTITUTE
3. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
4. MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
5. MEMBER & VICE CHAIR, BOARD OF TRUSTEES; MEMBER, EXECUTIVE COMMITTEE	BAYLOR COLLEGE OF MEDICINE
6. MEMBER OF THE BOARD OF DIRECTORS	CHI ST. LUKE'S HEALTH BAYLOR COLLEGE OF MEDICINE MEDICAL CENTER

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 2013	NONE FOR REPORTING INDIVIDUAL	
2. 2013	[REDACTED]; STATE OF TEXAS, JUDICIAL RETIREMENT	\$71,136.00
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.	AMERICAN LAW INSTITUTE	01/16/2013 - 01/18/2013	PHILADELPHIA, PA	ATTEND COUNCIL MEETING	REIMBURSEMENT OF LODGING, MEALS, TRANSPORTATION AND AIRFARE
2.	UNIVERSITY OF TEXAS LAW SCHOOL FOUNDATION	04/11/2013	AUSTIN, TX	ATTEND NON-FJC EDUCATIONAL PROGRAM OR SEMINAR	REIMBURSEMENT OF TRANSPORTATION AND AIRFARE
3.	MARQUETTE UNIVERSITY	05/17/2013 - 05/19/2013	MILWAUKEE, WI	ATTEND NON-FJC EDUCATIONAL PROGRAM OR SEMINAR	REIMBURSEMENT OF TRANSPORTATION AND AIRFARE

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4.	AMERICAN LAW INSTITUTE	05/20/2013	WASHINGTON, DC	ATTEND ALI ANNUAL MEETING	REIMBURSEMENT OF LODGING, MEALS, TRANSPORTATION AND AIRFARE
5.	REIMBURSEMENTS OF SPOUSE THOMAS M REAVLEY:				
6.	DUKE LAW SCHOOL	05/30/2013 TO 05/31/2013	DURHAM, NC	ATTEND NON-FJC EDUCATIONAL PROGRAM OR SEMINAR	REIMBURSEMENT OF LODGING AND TRANSPORTATION

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	NONE FOR THE REPORTING INDIVIDUAL	NONE	
2.	██████████ : PRUDENTIAL INSURANCE CO.	POLICY LOAN	K
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. Compass Bank Houston, TX (Money Market)	A	Interest	L	T					
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	B	Dividend	K	T					
3. General Electric Co. Common Stock	C	Dividend	M	T					
4. IBM Common Stock	A	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	C	Dividend	M	T					
6. Compass Bank Checking Account		None	K	T					
7. T. Rowe Price Small Cap Value Fund	D	Distribution	M	T					
8.		Dividend							
9. T. Rowe Price New Era Fund	D	Distribution	N	T					
10.		Dividend							
11. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	O	V					
12. Abbott Labs Common Stock	A	Dividend	K	T					
13. Illinois Tool Works Inc Common Stock	D	Dividend	N	T					
14. 5% California Economic Recovery Bonds Due 7/1/2015	C	Interest	M	T					
15. Procter & Gamble Common Stock	C	Dividend	M	T					
16. 3.8% NY State Thruway Aut. Gen. Rev. Bonds Due 1/1/2015	C	Interest	M	T					
17. 5% Denver Colo City & Cnty Rev. Bonds Due 9/1/2015	C	Interest	M	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	

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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)

18. Akron, OH CTFS PARTN 5% Bonds Due 12/01/2017	D	Interest	M	T					
19. Northwestern Mutual Variable Annuity Policy () Annuitant)		None	M	T					
20. Tarrant Cnty Tex Hea B LTH FACS Dev Corp 5% Bonds - Due 12/1/2019	C	Interest	M	T					
21. Texas Transn Commn ST Hwy FD Rev 5% Bonds Due 4/1/2019	C	Interest	M	T					
22. Northwestern Mutual Insurance Service Account	A	Interest	J	T					
23. Glaxosmithkline PLC	B	Dividend	K	T					
24. Goldman Sachs Bank	A	Interest	J	T	Sold (part)	11/19/13	N		SEE PART VIII
25. Texas GO 5% Bonds Due 4/1/2019	C	Interest	M	T					
26. Phoenix AZ Rev. 5% Bonds Due 7/1/2018	C	Interest	M	T					
27. Chevron Corp.	C	Dividend	L	T					
28. Royal Dutch Shell	C	Dividend	L	T					
29. Dallas Cnty TX Cmnty College GO 5% Bonds Due 2/15/21	C	Interest	M	T					
30. Massachusetts GO 5.25% Bonds Due 8/1/2021	D	Interest	M	T					
31. Caterpillar Common Stock	B	Dividend	L	T					
32. Barclays Bank PLC	A	Interest	N	T	Open	11/19/13	N		SEE PART VIII
33. Abbvie, Inc. Common Stock	B	Dividend	L	T	Spinoff (from line 12)	01/02/13	K		Abbott Labs
34. Thomas M. Reavley Holdings Listed Below:									

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)
35. Compass Bank (Houston)	A	Interest	M	T					
36. Royalty (Hendrix) Pecos County, Texas	A	Royalty	J	W					
37. Minerals (Samson) Nacogdoches County, Texas	C	Royalty	N	W					
38. Minerals (Apache) Nacogdoches County, Texas		None	J	W					
39. Chase Bank (Houston)	A	Interest	M	T					
40. Minerals (Chesapeake) Nacogdoches County, Texas		None	J	W					
41. Fee Land, Llano County, Texas		None	K	W					
42. Prudential Insurance Company	A	Int./Div.	J	T					
43. Indigo	D	Royalty	M	W					
44. Minerals (BP) Panola County, Texas		None	K	W					
45. Minerals (Wildhorse) Nacogdoches County, Texas	A	Royalty	J	W					
46. Minerals (Patara) Shelby County, Texas	A	Royalty	J	W					
47. Minerals (Noble) Nacogdoches County, Texas	B	Royalty	K	W					
48. Minerals (XTO) Nacogdoches County, Texas	A	Royalty	J	W					
49. Minerals (Delta Petroleum) Newton County, Texas	A	Royalty	J	W					
50. Texas State Bond	D	Interest	M	T					
51. University of Texas Permanent Bond 5% Due 7/01/13	B	Interest			Redeemed	07/01/13	M	A	Issuer

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$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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52. Greater Clark County, Colorado Bond 5% Due 7/15/11	B	Interest	L	T					
53. Akron, Ohio Bond 5% Due 1/12/17	D	Interest	M	T					
54. Houston, Texas Bond (SER, E)	B	Interest	L	T					
55. Goldman Sachs Bank	A	Interest			Closed	11/19/13	M		Barclays Bank PLC
56. Massachusetts Bond	C	Interest	L	T					
57. Barclays Bank PLC	A	Interest	M	T	Open	11/19/13	M		Goldman Sachs Bank

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

In response to Part VII C, I have reported the aggregate cash surrender value for the whole life policies. In response to Part VII B, I have shown the aggregate amount of the dividends on those policies, which are used to pay the premiums and increase the cash surrender value.

On November 19, 2013, I transferred the cash balance at that date in Goldman Sachs Bank to Barclays Bank PLC. The Goldman Sachs Bank account remained open with a small cash balance (less than \$15,000) until early 2014.

I am married to Circuit Judge [REDACTED].

On November 17, 2013, [REDACTED] transferred the cash balance at that date from Goldman Sachs Bank to Barclays Bank PLC.

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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/ CAROLYN D. KING**

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