

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) Ellis III, Thomas S.	2. Court or Organization U.S. District Court, E.D. Va.	3. Date of Report 06/22/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	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 401 Courthouse Square 9th Floor Alexandria, VA 22314-5799		
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.		
2.		
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.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	County of Albemarle - salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Duke University Law School Center for Judicial Studies	05/15/13 to 05/16/13	Durham, NC	Gave presentation	Air fare and lodging expenses
2.				
3.				
4.				
5.				

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

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. Sensor		None	J	T					
2. Wachovia Bank Accts	A	Interest	K	T					
3. IRA #1									
4. Cambiar Opp Fd	A	Dividend	J	T					
5. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	01/11/13	J	A	
6.					Sold (part)	04/12/13	J	A	
7.					Sold (part)	07/12/13	J	A	
8.					Buy (add'l)	09/04/13	J		
9.					Sold (part)	10/11/13	J	A	
10. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Sold (part)	10/07/13	J	A	
11. Legg Mason Value Trust		None	J	T					
12. DWS Dremam Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	09/03/13	J	A	
13. Artio Int'l Equity Fd CL 1		None	J	T					
14. Security EQ Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	10/07/13	J	A	
15. Touchstone Large Cap Growth Fd CL 1	A	Dividend	J	T					
16. Wells Fargo Fds Tr Emerging Growth Fd Instlt CL	A	Dividend	J	T	Sold (part)	10/07/13	J	A	
17. Delaware Grp Advisor Fds Inc US Growth Port Instl CL	A	Dividend	J	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 \$5,000,000	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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☐ 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 I (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. Delaware Grp Equit Fds II Value fd Inst CL	A	Dividend	J	T	Sold (part)	10/07/13	J	A	
19. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	07/12/13	J	A	
20.					Sold (part)	10/07/13	J	A	
21. Harbor Int'l Instl CL	A	Dividend	J	T					
22. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T					
23. Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T					
24. Pimco Fds PAC Int Mgmt Ser Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T					
25. AIM Global Rea Est Fd Cl Y		None			Sold	01/08/13	J	A	
26. Blair William FDS Intl Growth Fd CL I	A	Dividend	J	T					
27. Dreyfus Appreciation FD Inc	A	Dividend	J	T					
28. RS Invt TR Emerging Mkts FD CL Y		None			Sold	02/20/13	J	A	
29. Sentinel Mut. Fds Small Co CL I		None			Sold	02/20/13	J	A	
30. Managers AMG Fds Timessquare Mid Cap Grwth Fd	A	Dividend	J	T					
31. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T	Sold (part)	10/07/13	J	A	
32. First Eagle Fds Sogen Overseas Fd CL I	A	Dividend	J	T					
33. Eagle Sm Cap Grwth Fd CL I	A	Dividend	J	T					
34. Invesco Global Real Estate Y	A	Dividend	J	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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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. Lazard Fds Inc Emerging Mkts Instl shs	A	Dividend	J	T	Buy	02/21/13	J		
36. Victory Portfolios Small Co Opp Fd Cl 1 shs	A	Dividend	J	T	Buy	09/05/13	J		
37. IRA #2									
38. GS Finl Sq Mmkt Inst'l		None			Sold	01/11/13	J	A	
39. GS TR Finl Sq Treas Instrs Fd Instl Cl		None	J	T	Buy	01/11/13	J		
40.					Sold (part)	04/12/13	J	A	
41.					Sold (part)	07/12/13	J	A	
42.					Buy (add'l)	09/04/13	J		
43.					Sold (part)	10/11/13	J	A	
44.					Buy (add'l)	10/28/13	J		
45. Touchstone Large Cap Grwth Fd CL I	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
46. Managers Times Sq M/C GRW-PR	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
47. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	07/12/13	J	A	
48.					Sold (part)	10/28/13	J	A	
49. Harbor Int'l Inst'l CL	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
50. Hotchkiss & Wiley Fds Mid Cap Value Fd CL I	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
51. Legg Mason Value Tr Inc Nav Value Trust		None			Sold	01/11/13	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Security Equity Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
53. Wells Fargo FDS TR Small Cap Growth Fd Adm		None			Sold	01/11/13	J	A	
54. AIM Global Real Estate FD CL Y	A	Dividend			Sold	01/08/13	J	A	
55. Blair Williams Fds Intl Growth Fd CL I	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
56. RS Invst Tr Park Ave Portfolio RS Emerging Mkts Fd CLA		None	J	T	Sold (part)	02/20/13	J	A	
57. Artio Global Invst Fds Intl Equity Fd II CL I		None	J	T					
58. PIMCO Fds PAC Invst Mgmt Ser-Comm	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
59. Brandywine Blue Fd Inc		None	J	T					
60. Dreyfus Appreciation Fd Inc	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
61. DWS Value Ser Inc Small Cap Value Fd CL S	A	Dividend	J	T	Sold (part)	09/03/13	J	A	
62. Morgan Stanley Instl Fd Trust Mid Cap Grwth Port CL I	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
63. Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
64. Sentinel Mut Fds Small Co CL I		None	J	T					
65. Wells Fargo Fds TR Emerging Grwth Fd	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
66. Keeley Fds Sm Cap Value Fd	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
67. Mainstay Large Cap Grwth Fd	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
68. Cambiar Opp Fd	A	Dividend	J	T	Sold (part)	10/28/13	J	A	

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69. Eagle Sm Cap Grwth Fd CL I	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
70. Delaware Grp Equi Fds II-Value Fd Instl Cl	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
71. First Eagle Fds Sogen Overseas Fd CL I	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
72. Invesco Global Real Estate Y	A	Dividend	J	T	Buy (add'l)	10/28/13	J		
73. Victory Portfolios Sm Co. Opp. Fd. CL I	A	Dividend	J	T	Buy	09/05/13	J		
74. Lazard Fds Emerging Mkts Port Instl SHS	A	Dividend	J	T	Buy	02/21/13	J		
75.					Buy (add'l)	10/28/13	J		
76.									
77.									
78.									
79.									
80.									
81.									
82.									
83.									
84.									
85.									

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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86.									
87.									
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									

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

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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/ Thomas S. Ellis III

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