

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) ELLISON, KEITH P.	2. Court or Organization U.S.D.C. SOUTHERN DISTRICT OF TEXAS	3. Date of Report 2/20/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE-ACTIVE	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 515 RUSK STREET, ROOME 3716 HOUSTON, TEXAS 77002		
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.	Director	Harry A. Blackmun Scholarship Foundation
2.	Director	Executive Committee Order of Coif
3.	Secretary	Rhodes Scholarship Selection Committee -District VIII
4.	Director	Houston Achievement Place
5.	Counsel	American Inn of Court, Houston Intellectual Property Chapter

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.

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 Year

Norton Rose Fulbright, L.L.P. partnership profits

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. Order of Coif

January 2016

Washington, D.C.

Committee Meeting

Transportation / Meals / Lodging

2. University of Texas School of
Law

April 2016

Austin, TX

Conference on death
penalty

Transportation / Meals / Lodging

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.)*

	<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.	Wallis State Bank	Revolving Loan Agreement	K
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. 401(K) SAVINGS PLAN Vanguard									
2. - Vanguard Prime Money Market Fund	A	Interest	J	T					
3. - Vanguard Total Bond Market Index Fund	E	Interest	O	T					
4. - Vanguard International Stock Index Fund	E	Dividend	M	T					
5. - Vanguard Total Stock Market Index Fund	E	Dividend	O	T					
6. - Adams Express Co. Common Stock	D	Dividend	M	T					
7. RETIREMENT SAVINGS PLAN Govt Plan									
8. - Spartan U. S. Equity Income	B	Dividend	N	T					
9. 401(K) PLAN - TAX DEFERRED									
10. Fidelity Diversified International Fund (x)	D	Dividend	N	T					
11. Fidelity International Index Fund (x)	C	Dividend	L	T					
12. Fidelity Low Priced Stock Fund (x)	D	Dividend	N	T					
13. Fidelity 500 Index Institutional Class (x)	E	Dividend	O	T					
14. Fidelity Contrafund Pool	E	Dividend	O	T					
15. Dreyfus Appreciation Fund (x)	D	Dividend	M	T					
16. Fidelity Govt Income (x)	G	Interest	O	T					
17. Fidelity Short Term Bond Fund (x)	A	Interest	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 \$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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18. Fidelity Puritan Fund Class (x)	E	Interest	L	T					
19. WELLS FARGO BANK	A	Interest	J	T					
20. WELLS FARGO BANK	A	Interest	J	T					
21. AMEGY BANK OF TEXAS CHECKING ACCOUNT	A	Interest	N	T					
22. AMEGY BANK OF TEXAS SAVINGS ACCOUNT	A	Interest	M	T					
23. FIDELITY - INDIVIDUAL ACCOUNT (H)									
24. - Fidelity Municipal Money Market	A	Interest	J	T					
25. San Francisco Airport Improvement Bond	A	Interest	J	T	Redeemed	07/01/13	J	A	
26. Chevron Corp.	E	Dividend	M	T	Sold (part)	03/11/16	L	D	
27. Adams Express Co. (y)	B	Dividend	L	T					
28. Fairpoint Communications, Inc. (y)	A	Dividend	J	T					
29. Merek & Co. (y)	A	Dividend	K	T					
30. Verizon (y)	A	Dividend	L	T					
31. Spartan International (y)	A	Dividend	K	T					
32. Legg Mason (y)	A	Dividend	J	T					
33. GE Capital Interests (y)	A	Dividend	J	T					
34. Lehman Bros	A	Interest	J	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Fidelity Cash Reserves	A	Interest	J	T					
36. Govt. Natl. Mortg. Assn.	A	Interest	L	T					
37. VANGUARD INHERITED IRA - (H)									
38. -Vanguard Balanced Index Fund Admiral	A	Dividend	K	T	Sold	01/05/16	K	C	
39. -Vanguard Windsor II Fund Admiral Shares	A	Dividend	K	T	Sold	01/05/16	K	B	
40. -Vanguard Total Stock Market Index Fund Admiral Shares	A	Dividend	K	T	Sold	01/05/16	K	C	
41. FIDELITY IRA									
42. -Fidelity Cash Reserves	A	Interest	J	T	Redeemed	05/16/16	L	B	
43. -Govt Natl Mtg Assn II Pool	A	Interest	K	T	Redeemed	12/20/13	K		
44. -Govt Natl Mtg Assn Pool	A	Interest	K	T	Redeemed	12/20/13	K		
45. -GE Capital Internotes	A	Interest	L	T	Redeemed	04/15/13	L		
46. -Lehman Bros Hldgs Inc	A	Interest	K	T					
47. -Leucadia Natl Corp Sr NT	A	Interest	K	T	Redeemed	05/15/13	K		
48. -Time Warner Cos Inc DEB	A	Interest	L	T					
49. -Adams Express Company	C	Dividend	L	T					
50. -Fidelity Inflation Protected Bond	A	Interest	L	T					
51. -Fidelity Strategic Income	A	Interest	M	T					

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52. -Spartan Intl Index Investor Class	A	Interest	K	T	Sold	01/15/16	K		
53. -Frontier -Communications Corp Com	A	Dividend	J	T					
54. -Merck & Co Inc New Com	A	Dividend	L	T					
55. -Legg Mason CBA Equity FD CL O	A	Dividend	J	T	Sold	12/31/12	J		
56. -Verizon Communications	B	Dividend	L	T					
57. -Fidelity Money Market	A	Interest	J	T					
58. - Van Kampen Internet Mutual Fund	A	Interest	J	U					

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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/ **KEITH P. ELLISON**

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