

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) Ellington, Janice	2. Court or Organization Southern District of Texas	3. Date of Report 5/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - Full Time	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 1133 N. Shoreline Blvd. Corpus Christi, TX 78401		
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.)*

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.

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.

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. Real property - unimproved lots in WA - Assessed Value 4,000		None	J	W					
2. Checking Accts. - American Bank, CC, TX	A	Interest	N	T					
3. Exxon Mobil	A	Dividend	K	T					
4. UBS Rollover IRA (H)									
5. -UBS Bank USA Deposit Account-Cash	A	Interest			Sold	08/21/18	J	A	
6. -First Trust North American Energy Infrastructure Fund ETF	A	Dividend			Sold	08/21/18	J	A	
7. -The First Trust Dorsey Wright Dynamic Focus	A	Dividend			Sold (part)	02/27/18	J	A	
8.					Sold	08/21/18	J	A	
9. -Cohen & Steers MLP & Energy Opp Fd Class I	A	Dividend			Sold	08/21/18	J	A	
10. -Columbia Midcap Index Fund Class Institutional	A	Dividend			Sold (part)	02/27/18	J	A	
11.					Sold	08/21/18	J	A	
12. -Davis Financial Fund Class Y					Sold	08/21/18	J	A	
13. -First Eagle Overseas Fund Class I					Buy	02/28/18	J		
14.					Sold	08/21/18	J	A	
15. -FMI International Fund Class Institutional	A	Dividend			Sold (part)	02/27/18	J	A	
16.					Sold	02/27/18	J	A	
17. -Goldman Sachs Large Cap Growth Insights Fund Class I	A	Dividend			Sold (part)	02/27/18	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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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18.					Sold	08/21/18	J	A	
19. -Janus Henderson Global Equity Income Fund I	A	Dividend			Sold	08/21/18	J	A	
20. -Janus Henderson U. S. Managed Volatility Fund Class I					Sold (part)	02/27/18	J	A	
21.					Sold	08/21/18	J	A	
22. -Invesco Diversified Dividend Fund C1 Y	A	Dividend			Sold	02/27/18	J	A	
23. -MFS Massachusetts Inves Growth Stock Fund	A	Dividend			Sold (part)	02/27/18	J	A	
24.					Sold	08/21/18	J	A	
25. -Nuveen Santa Barbara Dividend Growth Fund I	A	Dividend			Sold (part)	02/27/18	J	A	
26.					Sold	08/21/18	J	A	
27. -Nuveen Small Cap Value Fund I	A	Dividend			Sold	08/21/18	J	A	
28. -Putnam Multi Cap Value Fund Class Y	A	Dividend			Sold	02/27/18	J	A	
29. -Vanguard 500 Index Fund Admiral	A	Dividend			Sold (part)	02/27/18	J	A	
30.					Sold	08/21/18	J	A	
31. -Vanguard Financials Index Fund Admiral	A	Dividend			Sold	08/21/18	J	A	
32. -Vanguard Equity Income Fund Admiral	A	Dividend			Sold	08/21/18	J	A	
33. First Trust Low Duration Mortgage Opportunities ETF	A	Int./Div.			Sold	08/21/18	K	A	
34. -Cohen & Steers Low Duration Pref & Inc. Fund Class I	B	Dividend			Sold (part)	02/13/18	J		

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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35.					Sold	08/21/18	K		
36.	-Doubleline Low Duration Bond Fund	A	Int./Div.		Sold	08/21/18	K		
37.	-Fidelity Advisor Limited Term Bond Fund Class I	A	Dividend		Sold	08/21/18	K		
38.	-Lord Abbett Short Duration Income Fund	A	Dividend		Sold	08/21/18	K		
39.	-Metropolitan West Low Duration Bond Fund Class I	A	Dividend		Sold	08/21/18	K		
40.	-Metropolitan West Unconstrained Bond Fund I	A	Dividend		Sold	08/21/18	K		
41.	-Thornburg Ltd Term Income /ck 1	A	Dividend		Sold	08/21/18	K		
42.	-Vanguard Short-Term Corp Bd Idx Admiral	A	Int./Div.		Sold	08/21/18	K		
43.	-Boston Partners Long/Short Research Fd Class Inst				Sold	08/21/18	J		
44.	-American Funds: American Balanced Fund Class F2	A	Dividend		Sold	08/21/18	J		
45.	-Invesco Balanced Risk Allocation Fund Y	A	Dividend		Sold	08/21/18	J		
46.	-MFS International Diversification Fd				Buy	02/28/18	J		
47.					Sold	08/21/18	J		
48.	-JP Morgan Equity Income Fund Class I	A	Dividend		Buy	02/28/18	J		
49.					Sold	08/21/18	J		
50.	-Vanguard Selected Value Fund Investor				Buy	02/28/18	J		
51.					Sold	08/21/18	J		

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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	
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. Raymond James (Biggins Wealth Management) (H)									
53. -Cash account	A	Interest	M	T	Open	08/21/18	J		
54. -The First Trust Dorsey Wright Dynamic Focus	A	Dividend			Buy	08/21/18	J		
55.					Sold	12/11/18	J		
56. -Cohen & Steers MLP & Energy Opp Fd Class I	A	Dividend			Buy	08/21/18	J		
57.					Sold	12/11/18	J		
58. -Columbia Midcap Index Fund Class Institutional	A	Dividend			Buy	08/21/18	J		
59.					Sold	12/11/18	J		
60. -Davis Financial Fund Class Y					Buy	08/21/18	J		
61.					Sold	12/11/18	J		
62. -First Eagle Overseas Fund Class I					Buy	08/21/18	J		
63.					Sold	12/11/18	J		
64. -Goldman Sachs Large Cap Growth Insights Fund Class I	A	Dividend			Buy	08/21/18	J		
65.					Sold	12/11/18	J		
66. -Janus Henderson Global Equity Income Fund I	A	Dividend			Buy	08/21/18	J		
67.					Sold	12/11/18	J		
68. -James Henderson U.S. Managed Volatility Fund Class I					Buy	08/21/18	J		

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69.					Sold	12/11/18	J		
70. -MFS Massachusetts Inves Growth Stock Fund					Buy	08/21/18	J		
71.					Sold	12/11/18	J		
72. -Nuveen Santa Barbara Dividend Growth Fund I	A	Dividend			Buy	08/21/18	J		
73.					Sold	12/11/18	J		
74. -Vanguard 500 Index Fund Admiral	A	Dividend			Buy	08/21/18	J		
75.					Sold	12/11/18	J		
76. -Vanguard Financials Index Fund Admiral	A	Dividend			Buy	08/21/18	J		
77.					Sold	12/11/18	J		
78. -Vanguard Equity Income Fund Admiral	A	Dividend			Buy	08/21/18	J		
79.					Sold	12/11/18	J		
80. -First Trust Low Duration Mortgage Opportunities ETF	A	Dividend			Buy	08/21/18	K		
81.			K	T	Buy (add'l)	12/11/18	J		
82. -Cohen & Steers Low Duration Pref & Inc. Fund Class I	A	Dividend			Buy	08/21/18	K		
83.			K	T	Sold (part)	12/11/18	K		
84. -Doubleline Low Duration Bond Fund	A	Dividend			Buy	08/21/18	K		
85.			K	T	Buy (add'l)	12/11/18	J		

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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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86. -Fidelity Advisor Limited Term Bond Fund Class I	A	Dividend			Buy	08/21/18	K		
87.			K	T	Buy (add'l)	12/11/18	J		
88. -Lord Abbett Short Duration Income Fund	A	Dividend			Buy	08/21/18	K		
89.			K	T	Buy (add'l)	12/11/18	J		
90. -Metropolitan West Low Duration Bond Fund Class I	A	Dividend			Buy	08/21/18	K		
91.			K	T	Buy (add'l)	12/11/18	J		
92. -Metropolitan West Unconstrained Bond Fund I	A	Dividend			Buy	08/21/18	K		
93.			K	T	Buy (add'l)	12/11/18	J		
94. -Thornburg Ltd Term Income	A	Dividend			Buy	08/21/18	K		
95.			K	T	Buy (add'l)	12/11/18	J		
96. -Vanguard Short-Term Corp Bd Idx Admiral	A	Dividend			Buy	08/21/18	K		
97.					Sold	12/11/18	K		
98. -Boston Partners Long/Short Research Fd Class Inst					Buy	08/21/18	J		
99.					Sold	12/11/18	J		
100. -American Funds: American Balanced Fund Class F2	A	Dividend			Buy	08/21/18	J		
101.					Sold	12/11/18	J		
102. -Invesco Balanced Risk Allocation Fund Y					Buy	08/21/18	J		

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103.					Sold	12/11/18	J		
104. -MFS International Diversification					Buy	08/21/18	J		
105.					Sold	12/11/18	J		
106. -JP Morgan Equity Income Fund Class 1	A	Dividend			Buy	08/21/18	J		
107.					Sold	12/11/18	J		
108. -Vanguard Selected Value Fund Investor					Buy	08/21/18	J		
109.					Sold	12/11/18	J		
110. -Nuveen Small Capital	A	Dividend			Buy	08/21/18	J		
111.					Sold	12/11/18	J		
112. -First Trust ETF IV North America Energy	A	Dividend			Buy	08/21/18	J		
113.					Sold	12/11/18	J		

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

VII. Line 1 - 4 Unimproved Lots in Grant County, WA

VII Lines 4 to end. On August 21, 2018 all investments in UBS IRA were transfered in kind to a new firm. They are reported as a sale and purchase because the FDR software does not permit the use of transfer in or transfer out.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ellington, Janice

Date of Report

5/10/2019

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/ Janice Ellington**

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