

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>ELLISON, KEITH P.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S.D.C. SOUTHERN DISTRICT OF TEXAS                                                                                                                                                                                                               | <b>3. Date of Report</b><br><br>8/13/2018                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. DISTRICT JUDGE-ACTIVE                                                    | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>515 RUSK STREET, ROOM 3716<br>HOUSTON, TEXAS 77002                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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, Nancy F. Atlas 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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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. 2017 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.)*

| <u>SOURCE</u>    | <u>DATES</u> | <u>LOCATION</u>   | <u>PURPOSE</u>    | <u>ITEMS PAID OR PROVIDED</u>    |
|------------------|--------------|-------------------|-------------------|----------------------------------|
| 1. Order of Coif | January 2017 | San Francisco, CA | Committee Meeting | Transportation / Meals / Lodging |
| 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.)*

|    | <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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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                                         | Sold<br>(part)                                  | 03/01/17                | L                               | D                              |                                                                   |
| 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<br>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                                         | Sold<br>(part)                                  | 03/01/17                | L                               | D                              |                                                                   |
| 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                                         | Sold<br>(part)                                  | 03/01/17                | L                               | D                              |                                                                   |
| 16. Fidelity Govt Income (x)                                                                                                | G                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Fidelity Short Term Bond Fund (x)                                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                          |   |          |   |   |             |          |   |   |  |
|------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 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. Chevron Corp.                        | E | Dividend | M | T | Sold (part) | 01/15/17 | M | E |  |
| 26. Adams Express Co. (y)                | B | Dividend | L | T |             |          |   |   |  |
| 27. Fairpoint Communications, Inc. (y)   | A | Dividend | J | T |             |          |   |   |  |
| 28. Merek & Co. (y)                      | A | Dividend | K | T |             |          |   |   |  |
| 29. Verizon (y)                          | A | Dividend | L | T |             |          |   |   |  |
| 30. Spartan International (y)            | A | Dividend | K | T |             |          |   |   |  |
| 31. Legg Mason (y)                       | A | Dividend | J | T |             |          |   |   |  |
| 32. GE Capital Interests (y)             | A | Dividend | J | T |             |          |   |   |  |
| 33. Lehman Bros                          | A | Interest | J | T |             |          |   |   |  |
| 34. Fidelity Cash Reserves               | A | Interest | J | T |             |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                                                          |                         |

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|                                        |   |          |   |   |  |  |  |  |  |
|----------------------------------------|---|----------|---|---|--|--|--|--|--|
| 35. Govt. Natl. Mortg. Assn            | A | Interest | L | T |  |  |  |  |  |
| 36. FIDELITY IRA                       |   |          |   |   |  |  |  |  |  |
| 37. -Lehman Bros Hldgs Inc             | A | Interest | K | T |  |  |  |  |  |
| 38. -Time Warner Cos Inc DEB           | A | Interest | L | T |  |  |  |  |  |
| 39. -Adams Express Company             | C | Dividend | L | T |  |  |  |  |  |
| 40. -Fidelity Inflation Protected Bond | A | Interest | L | T |  |  |  |  |  |
| 41. -Fidelity Strategic Income         | A | Interest | M | T |  |  |  |  |  |
| 42. -Frontier -Communications Corp Com | A | Dividend | J | T |  |  |  |  |  |
| 43. -Merck & Co Inc New Com            | A | Dividend | L | T |  |  |  |  |  |
| 44. -Verizon Communications            | B | Dividend | L | T |  |  |  |  |  |
| 45. -Fidelity Money Market             | A | Interest | J | T |  |  |  |  |  |
| 46. -Van Kampen Internet Mutual Fund   | A | Interest | J | U |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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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  
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One Columbus Circle, N.E.  
Washington, D.C. 20544