

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report 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 07/12/2010
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 401 Courthouse Square 9th Floor Alexandria, VA 22314-5799	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Advisory Board Member	Dean's Intellectual Property Law Advisory Board, George Washington University
2. Member	Judicial Conference Advisory Committee on Appellate Rules (and Sealing Subcommittee)
3. Member	Judicial Advisory Council on International Family Abduction
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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Ellis III, Thomas S.

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

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.	2009	Albemarle County Public Schools - 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.					
2.					
3.					
4.					
5.					

FINANCIAL DISCLOSURE REPORT
Page 3 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

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. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting
Ellis, III, Thomas S.

Date of Report
07/12/2010

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. Calamos Growth Fd A		None			Sold	9/16/09	J	A	
5. Cambiar Opp Fd		None	J	T	Buy	9/17/09	J		
6. Cambiar Opp Fd		None	J	T	Sold (part)	11/4/09	J	A	
7. FMI FDS Focus Fd		None			Sold	9/17/09	J	A	
8. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	4/4/09	J	A	
9. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	5/1/09	J	A	
10. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	6/2/09	J	A	
11. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	7/1/09	J	A	
12. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	8/1/09	J	A	
13. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	9/2/09	J	A	
14. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	9/21/09	J	A	
15. Goldman Sachs Tr Finl Sq Mmkt I		None	J	T	Sold (part)	10/9/09	J	A	
16. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Sold (part)	9/16/09	J	A	
17. Hotchkiss & Wiley Mid Cap Value I	A	Dividend	J	T	Sold (part)	9/21/09	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

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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				
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18. Julius Baer Int'l Equity I		None			Sold	4/4/09	J	A	
19. Kinetics Sm Cap Opp I		None			Sold	9/16/09	J	A	
20. Kinetics Paradigm Fd - I		None			Sold	9/16/09	J	A	
21. Legg Mason Value Trust	A	Dividend	J	T	Sold (part)	9/21/09	J	A	
22. Legg Mason Value Trust	A	Dividend	J	T	Buy	9/17/09	J		
23. Royce Total Return Fd CLW		None			Sold	9/16/09	J	A	
24. TCW Fds Select Equities Fd I		None			Sold	9/16/09	J	A	
25. Blackrock Lg Cap Value Fd	A	Dividend			Sold	9/16/09	J	A	
26. Blackrock Lg Cap Core Fd	A	Dividend	J	T	Buy	9/17/09	J		
27. Columbia Fds Tr Marsico 21st Century Fd CLA		None			Sold	9/16/09	J	A	
28. Dodge & Cox Int'l Stock Fd		None			Sold	9/16/09	J	A	
29. DWS Dreman Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	9/16/09	J	A	
30. DWS Dreman Sm Cap Value CLS	A	Dividend	J	T	Sold (part)	9/21/09	J	A	
31. Fidelity Advisor Ser I Lev Co Stock Fd		None			Sold	9/16/09	J	A	
32. Quantitative Gp Fds Foreign Value Fd Ord SHS		None	J	T	Buy	9/17/09	J		
33. RS Invt TR Global Natural Res Fd CLA		None			Sold	9/16/09	J	A	
34. Artio Int'l Equity Fd CL I	A	Dividend	J	T	Sold (part)	9/16/09	J	A	

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

Page 6 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

				(2)	(1)	(2)	(3)	(4)	(5)
35.	Artio Int'l Equity Fd CL I	A	Dividend	J	T	Sold (part)	9/21/09	J	A
36.	Security EQ Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	9/16/09	J	A
37.	Security EQ Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	9/21/09	J	A
38.	T Rowe Price Mid Cap Growth Fd	A	Dividend	J	T	Sold (part)	9/16/09	J	A
39.	T Rowe Price Mid Cap Growth Fd	A	Dividend	J	T	Sold (part)	9/21/09	J	A
40.	Touchstone Large Cap Growth Fd CL I		None	J	T	Sold (part)	9/21/09	J	A
41.	Wells Fargo Fds Tr Small Cap Growth Fd Admin CL		None	J	T	Sold (part)	9/16/09	J	A
42.	Delaware Grp Advisor Fds Inc US Growth Port Instl CL	A	Dividend	J	T	Sold (part)	9/21/09	J	A
43.	John Hancock Classic Value Fd CL I	A	Dividend	J	T	Sold (part)	9/21/09	J	A
44.	Harbor Int'l Instl CL	A	Dividend	J	T	Sold (part)	9/16/09	J	A
45.	Harbor Int'l Instl CL	A	Dividend	J	T	Sold (part)	9/21/09	J	A
46.	Oppenheimer Int'l Growth Fd CL Y	A	Dividend	J	T	Sold (part)	9/21/09	J	A
47.	Morgan Stanley Instl Fd Tr Mid Cap Growth Port I	A	Dividend	J	T	Buy	9/16/09	J	
48.	Pimco Fds PAC Invnt Mgmt Ser-Comm Real Ret Strdt Fd Instl CL	A	Dividend	J	T	Buy	9/17/09	J	
49.	AIM Global Real Est Fd CL Y	A	Dividend	J	T	Buy	9/17/09	J	
50.	Park Ave Portfolio RS Emerg Mkts Fd CLA	A	Dividend	J	T	Buy	9/17/09	J	
51.	IRA #2								

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessed

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

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52. Baron Select Partners	A	Dividend			Sold	1/20/09	J	A	
53. Blackrock Large Cap Val A	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
54. Blackrock Large Cap Val A	A	Dividend			Sold	8/26/09	J	A	
55. Bridgeway Ultra-Small Co		None			Sold	1/20/09	J	A	
56. Touchstone Inst'l Fds Tr Sands Cap Instl Growth		None			Sold	1/23/09	J	A	
57. Diamond Hill Sm Cap Fd A		None	J	T	Sold (part)	8/24/09	J	A	
58. Diamond Hill Sm Cap Fd A		None	J	T	Buy	1/20/09	J		
59. Diamond Hill Sm Cap Fd A		None	J	T	Buy	1/23/09	J		
60. Dodge & Cox Int'l Stock Fd		None			Sold	1/20/09	J	A	
61. Hotchkiss & Wiley Cor Val I	A	Dividend			Sold	8/24/09	J	A	
62. Janus Mid Cap Val Fd Inst		None			Sold	1/20/09	J	A	
63. Julius Baer Int'l Equity II		None			Sold	1/20/09	J	A	
64. Kinetics S/C Opp Inst'l	A	Dividend			Sold	8/26/09	J	A	
65. Munder M/C Core Growth Y		None			Sold	1/23/09	J	A	
66. NUVN Trdwnds Int'l Val R	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
67. Natnwde Mut S/C Fd CL A		None			Sold	1/20/09	J	A	
68. Pioneer-Cullen Value Y		None			Sold	1/20/09	J	A	

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

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69. Sunamer Foc SC Growth CL A		None			Sold	1/10/09	J	A	
70. CRM Mid Cap Val Inst'l		None			Sold	1/10/09	J	A	
71. Wells Fargo Adv End SL-I	A	Dividend	J	T	Buy	8/24/09	J		
72. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	7/10/09	J	A	
73. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
74. GS Finl Sq Mmkt Inst'l	A	Dividend	J	T	Sold (part)	10/9/09	J	A	
75. Keeley Small Cap Value CLA		None			Sold	1/10/09	J	A	
76. RS Invt TR Global Natural Res Fd CLA		None			Sold	8/24/09	J	A	
77. SSGA Fds Int'l Stock SEL		None			Sold	8/24/09	J	A	
78. ABRDN Small Cap Fd A		None			Sold	1/22/09	J	A	
79. TIAA-Cref Inst'l Int'l Eq Fd		None			Sold	1/22/09	J	A	
80. Touchstone Large Cap Grwth Fd CL I	A	Dividend	J	T	Buy	8/24/09	J		
81. Managers Times Sq M/C GRW-PR	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
82. American Centy Mut Fds Amer Centy Vista P		None	J	T	Sold (part)	8/24/09	J	A	
83. Blackrock Fds Int'l Opp Instl CL B	A	Dividend	J	T	Buy	8/24/09	J		
84. Cambiar Opp Fd	A	Dividend	J	T	Buy	8/24/09	J		
85. RS Invstmt Fds Emerging Mkts Fd A		None			Sold	1/10/09	J	A	

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FINANCIAL DISCLOSURE REPORT
Page 9 of 11

Name of Person Reporting
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86. John Hancock Classic Value Fd CL I	A	Dividend	J	T	Buy	8/24/09	J		
87. Harbor Int'l Inst'l CL	A	Dividend	J	T	Buy	8/24/09	J		
88. Hartford Int'l Growth Fd		None			Sold	8/24/09	J	A	
89. Hotchkiss & Wiley Fds Mid Cap Value Fd CL I	A	Dividend	J	T	Buy	8/25/09	J		
90. Legg Mason Value Tr Inc Nav Value Trust	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
91. Neuberger & Berman Small Cap Growth Fd		None			Sold	8/24/09	J	A	
92. Security Equity Fd Mid Cap Value Ser CLA	A	Dividend	J	T	Sold (part)	8/24/09	J	A	
93. Satuit Capital Micro Cap Fd		None			Sold	8/24/09	J	A	
94. Wells Fargo FDS TR Small Cap Growth Fd Adm		None	J	T	Sold (part)	8/24/09	J	A	
95. AIM Global Real Estate FD CL Y	A	Dividend	J	T	Buy	8/24/09	J		
96. Blair Williams Fds Intl Growth Fd CL I	A	Dividend	J	T	Buy	8/24/09	J		
97. Blackrock Large Cap Ser Fds Core Fd	A	Dividend	J	T	Buy	8/24/09	J		
98. Park Ave Portfolio RS Emerging Mkts Fd CLA	A	Dividend	J	T	Buy	8/24/09	J		
99. Artio Global Invt Fds Int'l Equity Fd II CL I	A	Dividend	J	T	Buy	8/24/09	J		
100. PIMCO Fds PAC Invt Mgmt Ser-Comm	A	Dividend	J	T	Buy	8/24/09	J		

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FINANCIAL DISCLOSURE REPORT
Page 10 of 11

Name of Person Reporting

Ellis, III, Thomas S.

Date of Report

07/12/2010

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

FINANCIAL DISCLOSURE REPORT
Page 11 of 11

Name of Person Reporting
Ellis, III, Thomas S.

Date of Report
07/12/2010

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



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

REPORT MAY BE SUBJECT TO CIVIL

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544