

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) KING, CAROLYN D	2. Court or Organization U.S. COURT OF APPEALS 5TH CIR.	3. Date of Report 04/02/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694	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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER OF BOARD OF DIRECTORS	SOUTH TEXAS COLLEGE OF LAW
2. RESEARCH FELLOW	THE CENTER FOR AMERICAN AND INTERNATIONAL LAW (FORMERLY SOUTHWESTERN LEGAL FOUNDATION)
3. MEMBER OF COUNCIL AND OF COUNCIL'S EXECUTIVE COMMITTEE	AMERICAN LAW INSTITUTE
4. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
5. MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
6. MEMBER OF ADVISORY BOARD OF THE JUDICIAL OUTREACH PROGRAM	AMERICAN SOCIETY OF INTERNATIONAL LAW
7. MEMBER OF BOARD OF TRUSTEES	BAYLOR COLLEGE OF MEDICINE

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.	

2007-3 APR 22
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FIFTH CIRCUIT

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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. 09/20/2007	AMERICAN JUDICATURE SOCIETY - EDWARD J. DEVITT DISTINGUISHED SERVICE TO JUSTICE AWARD	\$ 15,000
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. 2007	See attached report of [REDACTED]
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.	AMERICAN SOCIETY OF INTERNATIONAL LAW	JANUARY 24, 2007	WASHINGTON, DC	ASIL MEETING	REIMBURSEMENT OF AIRFARE AND GROUND TRANSPORTATION
2.	UNIVERSITY OF TEXAS	FEBRUARY 14-15, 2007	AUSTIN, TX	SPEAK AT CONFERENCE	REIMBURSEMENT OF LODGING, MEALS AND AIRFARE
3.	MARQUETTE UNIVERSITY SCHOOL OF LAW	FEBRUARY 19-21, 2007	MILWAUKEE, WI	SPEAK AT HALLOWS LECTURE	REIMBURSEMENT OF LODGING, MEALS, GROUND TRANSPORTATION AND AIRFARE
4.	SYRACUSE UNIVERSITY	MARCH 26-28, 2007	SYRACUSE, NY	SPEAK AT PANEL DISCUSSION	REIMBURSEMENT OF LODGING, GROUND TRANSPORTATION AND AIRFARE

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5.	AMERICAN LAW INSTITUTE	OCTOBER 17-19, 2007	NEW YORK, NY	ATTEND COUNCIL MEETING	REIMBURSEMENT OF LODGING, MEALS AND AIRFARE
6.	AMERICAN LAW INSTITUTE	DECEMBER 6-7, 2007	PHILADELPHIA, PA	ATTEND COUNCIL MEETING	REIMBURSEMENT OF LODGING, MEALS, GROUND TRANSPORTATION AND AIRFARE

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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. 2007	See attached report of [REDACTED]	
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Compass Bank Houston, TX (Money Market)	A	Interest	L	T					
2. 7.25% Florida State Board of Education Bonds Due 6/1/2010	A	Interest	J	T					
3. Citigroup Common Stock (formerly Citicorp)	E	Dividend	M	T					
4. Pfizer Common Stock	B	Dividend	K	T					
5. Daily Tax Free Income Fund	B	Interest			Redeem	4/27	L		Issuer
6. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	B	Dividend	K	T					
7. General Electric Co. Common Stock	C	Dividend	M	T					
8. 5% Atlanta, GA Bonds Due 12/1/2009	A	Interest			Redeem	4/13	J		Issuer
9. 4.85% University of North Carolina-Chapel Hill Rev. RFDG	B	Interest	L	T					
10. Bonds Due 11/1/2010									
11. IBM Common Stock	A	Dividend	K	T					
12. 4.3% Jupiter Isl. Florida Util. Syst. Due 10/1/2007	B	Interest			Redeem	10/1	K		Issuer
13. Exxon Mobil Corp. Common Stock	B	Dividend	L	T					
14. Compass Bank Checking Account in the Name of		None	J	T					
15. Carolyn D. King [REDACTED]									
16. T. Rowe Price Small Cap Value Fund	E	Distribution	M	T					
17.		Dividend							

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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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. T. Rowe Price New Era Fund	D	Distribution	M	T					
19.		Dividend							
20. Morgan Stanley & Co. (cash balance in brokerage account)	A	Interest	J	T					
21. Mesquite, TX ISD 5% Due 8/15/2012	C	Interest			Redeem	8/15	L		Issuer
22. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	N	V					
23. Abbott Labs Common Stock	B	Dividend	L	T					
24. Cisco Systems Common Stock		None	K	T					
25. Illinois Tool Works Inc Common Stock	C	Dividend	N	T					
26. 5.25% Indiana St. Office Bldg. Comm. Bonds Due 7/1/10	C	Interest	L	T					
27. BP Amoco PLC	D	Dividend	M	T					
28. Microsoft	A	Dividend	L	T					
29. MedcoHealth Solutions, Inc.		None	K	T					
30. 3.25% Danbury, Connecticut Bonds Due 8/1/2010	C	Interest	M	T					
31. 5% California Economic Recovery Bonds Due 7/1/2015	C	Interest	M	T					
32. Wells Fargo Co.	B	Dividend	L	T					
33. Procter & Gamble Common Stock	B	Dividend	L	T					
34. 3.8% NY State Thruway Aut. Gen. Rev. Bonds Due 1/1/2015	C	Interest	M	T					

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 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 = Assessment 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
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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. 5% Denver Colo City & Cnty Rev. Bonds Due 9/1/2015	C	Interest	M	T					
36. 3.125%US Treasury Note Due 1/31/2007	B	Interest			Redeem	1/31	M		Issuer
37. Morgan Stanley Institutional Liquidity Funds	A	Interest	K	T	Buy	9/1	M		Issuer
38. Akron, OH CTFS PARTN 5% Bonds Due 12/01/2017	D	Interest	M	T					
39. Corpus Christi, TX Util Sys Rev 4% Bonds Due 7/15/2012	C	Interest	M	T					
40. Daily Income Fund Municipal	A	Interest			Buy	4/27	L		Issuer
41.					Redeem	9/1	M		Issuer
42. Northwestern Mutual Variable Annuity Policy		None	L	T	Buy	4/6	L		
43. [REDACTED] annuitant)									
44. Guadalupe Blanco Rvr Bonds Due 11/1/2015	A	Interest			Buy	2/1	M		
45.					Sold	3/22	M		
46. Tarrant Cnty Tex Hea B LTH FACS Dev Corp 5% Bonds	B	Interest	M	T	Buy	6/13	M		
47. Due 12/1/2019									
48. Texas Transn Commn ST Hwy FD Rev 5% Bonds Due 4/1/2019	B	Interest	M	T	Buy	9/13	M		
49. Northwestern Mutual Insurance Service Account	A	Interest	J	T	Buy	4/6	J		
50.									

1. Income Gain Codes:
(See Columns B1 and D4)A =\$1,000 or less
F =\$50,001 - \$100,000B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000D =\$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 - \$50,000,000K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,0003. Value Method Codes
(See Column C2)Q =Appraisal
U =Book ValueR =Cost (Real Estate Only)
V =OtherS =Assessment
W =Estimated

T =Cash Market

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

In response to Part VII C, I have reported the aggregate cash surrender value for the whole life policies. In response to Part VII B, I have shown the aggregate amount of the dividends on those policies, which are used to pay the premiums and increase the cash surrender value.

I am married to [REDACTED] I have attached a copy of his Financial Disclosure Report for 2007 for the information about [REDACTED] required by the Instructions.

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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



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

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