

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 08/17/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694		
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. RESEARCH FELLOW	THE CENTER FOR AMERICAN AND INTERNATIONAL LAW
2. EMERITUS MEMBER OF COUNCIL	AMERICAN LAW INSTITUTE
3. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
4. MEMBER OF PRESIDENT'S BOARD OF ADVISORS	UNIVERSITY OF SAINT THOMAS
5. MEMBER & VICE CHAIR, BOARD OF TRUSTEES; MEMBER, EXECUTIVE COMMITTEE	BAYLOR COLLEGE OF MEDICINE
6. MEMBER OF THE BOARD OF DIRECTORS	CHI ST. LUKE'S HEALTH BAYLOR COLLEGE OF MEDICINE MEDICAL CENTER

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. 2015	NORTON ROSE FULBRIGHT DEFINED BENEFIT PENSION (SEE PART VIII)	\$11,064.00
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. 2015	SPOUSE THOMAS M REAVLEY; STATE OF TEXAS, JUDICIAL RETIREMENT
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.	AMERICAN LAW INSTITUTE	01/14/2015 - 01/16/2015	PHILADELPHIA, PA	ATTEND COUNCIL MEETING	REIMBURSEMENT OF LODGING, MEALS, TRANSPORTATION AND AIRFARE
2.	UNIVERSITY OF ARIZONA COLLEGE OF LAW	02/05/2015 - 02/06/2015	TUCSON, AZ	ATTEND REHNQUIST CONFERENCE	REIMBURSEMENT OF LODGING, MEALS, TRANSPORTATION AND AIRFARE
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.	NONE FOR THE REPORTING INDIVIDUAL	NONE	
2.	SPOUSE THOMAS M. REAVLEY: PRUDENTIAL INSURANCE CO.	POLICY LOAN	K
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. Compass Bank Houston, TX (Money Market)	A	Interest	O	T					
2. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	B	Dividend	K	T					
3. General Electric Co. Common Stock	C	Dividend	M	T					
4. IBM Common Stock	B	Dividend	K	T					
5. Exxon Mobil Corp. Common Stock	C	Dividend	L	T					
6. Compass Bank Checking Account		None	K	T					
7. T. Rowe Price Small Cap Value Fund	B	Distribution	M	T					
8.		Dividend							
9. T. Rowe Price New Era Fund	B	Distribution	L	T					
10.		Dividend							
11. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	O	V					
12. Abbott Labs Common Stock	B	Dividend	K	T					
13. Illinois Tool Works Inc Common Stock	D	Dividend	N	T					
14. Procter & Gamble Common Stock	C	Dividend	M	T					
15. 3.8% NY State Thruway Aut. Gen. Rev. Bonds Due 1/1/2015	B	Interest			Redeemed	01/01/15	L		ISSUER
16. 5% Denver Colo City & Cnty Rev. Bonds Due 9/1/2015	B	Interest			Redeemed	09/01/15	L		ISSUER
17. Akron, OH CTFS PARTN 5% Bonds Due 12/01/2017	D	Interest			Redeemed	12/15/15	M		ISSUER

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Northwestern Mutual Variable Annuity Policy (Son, Annuitant)		None	M	T					
19. Tarrant Cnty Tex Hea B LTH FACS Dev Corp 5% Bonds - Due 12/1/2019	C	Interest	M	T					
20. Texas Transn Commn ST Hwy FD Rev 5% Bonds Due 4/1/2019	C	Interest	M	T					
21. Northwestern Mutual Insurance Service Account	A	Interest	J	T					
22. Glaxosmithkline PLC	B	Dividend	K	T					
23. Texas GO 5% Bonds Due 4/1/2019	C	Interest	M	T					
24. Phoenix AZ Rev. 5% Bonds Due 7/1/2018	C	Interest	M	T					
25. Chevron Corp.	C	Dividend	L	T					
26. Royal Dutch Shell	C	Dividend	K	T					
27. Dallas Cnty TX Cmnty College GO 5% Bonds Due 2/15/21	C	Interest	M	T					
28. Massachusetts GO 5.25% Bonds Due 8/1/2021	D	Interest	M	T					
29. Caterpillar Common Stock	C	Dividend	L	T					
30. Barclays Bank PLC	A	Interest			Closed	12/07/15	J		ISSUER
31. Abbvie, Inc. Common Stock	B	Dividend	L	T					
32. Home Depot Common Stock	A	Dividend	L	T					
33. Microsoft Common Stock	C	Dividend	M	T	Buy	08/24/15	K		
34. Apple Common Stock	A	Dividend	L	T	Buy	08/24/15	L		

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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. Walt Disney Common Stock	A	Dividend	K	T	Buy	08/24/15	K		
36. Wisconsin Clean Water Bond 4% Due 6/01/23	B	Interest	M	T	Buy	07/13/15	M		
37. Texas GO Series B Bond 4% Due 4/01/24	B	Interest	M	T	Buy	07/13/15	M		
38. Arkansas GO Higher Ed Bond 4% Due 6/1/24	B	Interest	M	T	Buy	07/13/15	M		
39. Stifel Bank & Trust	A	Interest	N	T	Open	12/07/15	N		
40. American Express Centurion Bank	A	Interest	N	T	Open	12/07/15	N		
41. The Bank of East Asia Ltd.	A	Interest	M	T	Open	12/07/15	M		
42. Dreyfus Appreciation Fund (401(k)) SEE PART VIII	F	Int./Div.	M	T	Sold (part)	12/07/15	J		
43. Fidelity Contra Fund (401(k)) SEE PART VIII	E	Int./Div.	N	T	Sold (part)	12/07/15	K		
44. Vanguard Prime MM (401(k)) SEE PART VIII	A	Int./Div.	J	T	Sold (part)	12/07/15	K		
45. Thomas M. Reavley (Spouse) Holdings Listed Below:									
46. Compass Bank (Houston)		None	M	T					
47. Royalty (Hendrix) Pecos County, Texas	A	Royalty	J	W					
48. Minerals (Samson) Nacogdoches County, Texas	E	Royalty	L	W					
49. Minerals (Apache) Nacogdoches County, Texas	A	Royalty	J	W					
50. Chase Bank (Houston)	A	Interest	M	T					
51. Minerals (Chesapeake) Nacogdoches County, Texas	A	Royalty	J	W					

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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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52. Fee Land, Llano County, Texas		None	K	W					
53. Prudential Insurance Company - Whole Life Policy	A	Int./Div.	J	T					
54. Minerals (Indigo), Nacogdoches County, Texas	D	Royalty	M	W					
55. Vallence Operating Co., Panola County, Texas	D	Royalty	M	W					
56. Minerals (Memorial Production Co.) (AETHON) Nacogdoches County, Texas	A	Royalty	J	W					
57. Minerals (Patara & Gulf Coast) Shelby County, Texas	A	Royalty	J	W					
58. Minerals (Noble & Hyperion) Nacogdoches County, Texas	B	Royalty	K	W					
59. Minerals (XTO) Nacogdoches County, Texas	A	Royalty	J	W					
60. Minerals (Delta Petroleum) Newton County, Texas		None	J	W					
61. Texas State Bond 5% Due 10/1/22	D	Interest	M	T					
62. Greater Clark County, Colorado Bond 5% Due 1/15/16	A	Interest	L	T					
63. Akron, Ohio Bond 5% Due 12/1/17	A	Interest			Redeemed	12/15/15	M		Issuer
64. Houston, Texas Bond (SER, E)	B	Interest			Redeemed	03/02/15	L		Issuer
65. Massachusetts Bond	C	Interest	L	T					
66. Barclays Bank PLC	A	Interest			Closed	12/07/15	J		Issuer
67. Texas GO Series B Bond 4% Due 4/01/24	B	Interest	M	T	Buy	07/13/15	M		
68. Apple Common Stock	A	Dividend	L	T	Buy	08/24/15	L		

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69. Walt Disney Common Stock	A	Dividend	L	T	Buy	12/07/15	L		
70. Arkansas St. Bond	B	Interest	L	T	Buy	07/13/15	L		
71. Stifel Bank & Trust	A	Interest	N	T	Open	12/07/15	N		
72. American Express Centurion Bank	A	Interest	N	T	Open	12/07/15	N		
73. The Bank of East Asia	A	Interest	K	T	Open	12/07/15	P4		

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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.

The pension shown in response to Part IIIA is a bequest from a former husband who died on August 8, 2015. The income shown was received after that date. The 401(k) assets (nos. 42, 43 & 44) shown in response to Part VII were also a bequest from my former husband.

I am married to Circuit Judge Thomas M. Reavley.

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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/ CAROLYN D. KING**

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