

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 04/27/2007
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	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. COURTHOUSE, ROOM 11020 515 RUSK AVENUE HOUSTON, TX 77002-2694	5b. ☐ Amended Report 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 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	AMERICAN LAW INSTITUTE
4. MEMBER OF ADVISORY BOARD	THE CENTER FOR THOMISTIC STUDIES, UNIVERSITY OF SAINT THOMAS
5. MEMBER OF ADVISORY BOARD OF THE JUDICIAL OUTREACH PROGRAM	AMERICAN SOCIETY OF INTERNATIONAL LAW

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of 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 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.		
5.		

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. 2006	See attached report of [REDACTED]
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. AMERICAN SOCIETY OF INTERNATIONAL LAW	MEETING OF JUDICIAL ADVISORY GROUP; REIMBURSEMENT OF AIRFARE, ROOM CHARGE AND CABS; NEW YORK, NY; JAN 11-13, 2006
2. SYRACUSE UNIVERSITY	RECEIPT OF HONORARY DEGREE; COST OF AIRFARE, ROOM CHARGE AND MEALS; SYRACUSE, NY; MAY 12-14, 2006
3. ROMAN CATHOLIC DIOCESE OF CORPUS CHRISTI	SPEAK AT RED MASS; REIMBURSEMENT OF AIRFARE, ROOM CHARGE, MEALS AND CABS; CORPUS CHRISTI, TX; OCT 4-5, 2006
4. SOUTHERN METHODIST UNIVERSITY	JUDGE MOOT COURT COMPETITION; REIMBURSEMENT OF AIRFARE; DALLAS, TX; OCT 18, 2006

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5. AMERICAN LAW INSTITUTE

ATTEND COUNCIL MEETING; REIMBURSEMENT OF AIRFARE, ROOM CHARGE,
MEALS AND CABS; NEW YORK, NY; OCT 18-19, 2006

6.

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. 2006	See attached report of [REDACTED]	
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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	B	Interest	J	T	Partial Red.	6/1	K		Issuer
3. Citigroup Common Stock (formerly Citicorp)	D	Dividend	N	T					
4. Pfizer Common Stock	B	Dividend	K	T					
5. Daily Tax Free Income Fund	B	Interest			Redeem	2/7	M		Issuer
6.			M	T	Buy	10/4	M		Issuer
7. J.P. Morgan Chase Common Stock (formerly J.P. Morgan & Co.)	B	Dividend	K	T					
8. General Electric Co. Common Stock	C	Dividend	M	T					
9. 5% Atlanta, GA Bonds Due 12/1/2009	B	Interest	J	T	Partial Red.	12/1	K		Issuer
10. 4.85% University of North Carolina-Chapel Hill Rev. RFDG	B	Interest	L	T					
11. Bonds Due 11/1/2010									
12. 5% Wisconsin St. Bonds Due 5/1/2014	B	Interest			Redemption	5/1	K		Issuer
13. Intel Corp Common Stock	A	Dividend			Sell	9/27	K		
14. IBM Common Stock	A	Dividend	K	T					
15. 4.3% Jupiter Isl. Florida Util. Syst. Due 10/1/2007	B	Interest	L	T					
16. Exxon Mobil Corp. Common Stock	B	Dividend	L	T					
17. Compass Bank Checking Account in the		None	J	T					

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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18. [REDACTED]									
19. T. Rowe Price Small Cap Value Fund	D	Distribution	M	T					
20.		Dividend							
21. T. Rowe Price New Era Fund	C	Distribution	M	T					
22.		Dividend							
23. Morgan Stanley & Co. (cash balance in brokerage account)	A	Interest	J	T					
24. Mesquite, TX ISD 5% Due 8/15/2012	C	Interest	M	T					
25. Azle, TX ISD Series C 4.875% Due 2/15/2011	B	Interest			Redemption	2/15	L		Issuer
26. Northwestern Mutual Whole Life Policies - See Part VIII	E	Dividend	N	V					
27. Abbott Labs Common Stock	B	Dividend	K	T					
28. Cisco Systems Common Stock		None	K	T					
29. Illinois Tool Works Inc Common Stock	C	Dividend	M	T					
30. 4.00% Texas State Pub Fin Gen Oblig Bonds Due 10/1/2006	B	Interest			Redemption	10/2	L		Issuer
31. 5.25% Indiana St. Office Bldg. Comm. Bonds Due 7/1/10	C	Interest	L	T					
32. BP Amoco PLC	D	Dividend	M	T					
33. Microsoft	A	Dividend	L	T					

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34. MedcoHealth Solutions, Inc.		None	K	T					
35. 3.25% Danbury, Connecticut Bonds Due 8/1/2010	C	Interest	L	T					
36. 5% California Economic Recovery Bonds Due 7/1/2015	C	Interest	M	T					
37. Wells Fargo Co.	B	Dividend	L	T					
38. Procter & Gamble Common Stock	B	Dividend	L	T					
39. 3.8% NY State Thruway Aut. Gen. Rev. Bonds Due 1/1/2015	C	Interest	M	T					
40. 5% Denver Colo City & Cnty Rev. Bonds Due 9/1/2015	D	Interest	M	T					
41. 3.125% US Treasury Note Due 1/31/2007	C	Interest	M	T					
42. Morgan Stanley Institutional Funds	B	Interest			Buy	2/8	M		Issuer
43.					Redeem	10/3	M		Issuer
44. Akron, OH CTFB PARTN 5% Bonds Due 12/01/2017	D	Interest	M	T	Buy	2/16	M		
45. Corpus Christi, TX Util Sys Rev 4% Bonds Due 7/15/2012		None	M	T	Buy	10/13	M		

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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

Date

4/27/07

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